

**UNIVERSITY OF WISCONSIN SYSTEM
FINANCIAL AID
GENERAL RECORDS SCHEDULE**

May 2010

**Amended
November 2012**



UNIVERSITY OF WISCONSIN: GENERAL RECORDS SCHEDULES FOR FINANCIAL AID

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 five 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.

Financial aid includes programming and funding from federal and state government and some private donors. The Higher Education Act (HEA) of 1965 is landmark national higher education legislation passed by Congress and signed by President Lyndon B. Johnson in 1965, as well as subsequent amendments and reauthorizing (extending) legislation of the statute. Title IV of the HEA authorizes the majority of the nation's federal postsecondary student financial aid programs and mandates that they be regulated and administered by the U.S. Secretary of Education. The HEA is effective for approximately five years, requiring Congress to reauthorize it every five years or to extend the legislation for up to one additional year. Major federal financial aid programs included in the HEA are the Perkins Loan, Federal Supplemental Education Opportunity Grant (FSEOG), Federal Work-Study (FWS) and Pell Grants. There also exist many other federal programs such as Federal Family Educational Loan (FFEL) Program which includes Stafford Loans, Leveraging Educational Assistance Partnership (LEAP), and Teacher Education Assistance for College and Higher Education (TEACH) Grant Program, National Science and Mathematics Access to Retain Talent Grant (SMART) and other aid programs.

Some campuses have Title VII and Title VIII loan programs which include Primary Care, Health Professions, Nursing and Nurse Faculty Student Loan. Title VII and VIII loans are administered at the campus level and regulated by the U.S. Department of Health and Human Services.

Some campuses have Institutional Student Loans which are administered on campus following the donor's wishes. This includes both long term and short term loans. Programs in this general records schedule includes not only various Federal programs through the Department of Education and Department of Health and Human Services, but also through the State of Wisconsin.

In Wisconsin the Higher Educational Aids Board (HEAB) provides programming and funding for financial aid. The various programs offered through HEAB include five (5) grant programs and four (4) scholarship programs. The grant programs include the Wisconsin Higher Education Grant, Wisconsin Tuition Grant, Talent Incentive Program Grant, Indian Student Assistance Grant, Minority Undergraduate Retention Grant, and the Hearing and Visually Handicapped Student Grant. The scholarship programs include the Academic

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Excellence Scholarship, Minority Teacher Loan, Nursing Student Loan and the Teacher of the Visually Impaired Loan.

The record schedule is divided into five categories: student records, fiscal records, general institutional records, reporting records and student employment records.

II. SCOPE

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

I. FINANCIAL AID STUDENT RECORDS

- GENERAL STUDENT RECORDS – FINANCIAL AID
- GENERAL STUDENT FINANCIAL AID RECORDS – FOR STUDENT WITHOUT LOANS
- STUDENT INFORMATION SYSTEM (SIS) DATABASE
- GENERAL STUDENT FINANCIAL AID RECORDS – FOR STUDENT WITHOUT LOANS

II. FISCAL RECORDS

- STUDENT ACCOUNTS RECORDS
- STUDENT ACCOUNTS – FOR STUDENT WITHOUT LOANS

III. GENERAL INSTITUTIONAL RECORDS

- PROGRAM PARTICIPATION AGREEMENT
- PROGRAM REVIEW RECORDS
- ACCREDITING AND LICENSING AGENCY REVIEWS, APPROVALS AND REPORTS
- REMOTE SITES REPORT
- GRANT ADMINISTRATIVE FILES
- STUDENT GRANT VOUCHERS
- MILITARY EDUCATION BENEFITS AND SUPPORTING RECORDS
- STUDENT LOAN PROGRAM ADMINISTRATION
- REPORT TO HIGHER LEARNING COMMISSION

IV. REPORTING RECORDS

- FISCAL OPERATIONS REPORT AND APPLICATION TO PARTICIPATE (FISAP)
- ANNUAL OPERATING REPORT (AOR)
- STUDENT LOAN REPAYMENT RECORDS
- PERKINS ORIGINAL PROMISSORY NOTE
- STUDENT LOAN CASE FILES (NON-PERKINS)
- BUREAU OF INDIAN AFFAIRS CERTIFICATIONS
- FEDERAL PELL GRANT ELECTRONIC STATEMENTS OF ACCOUNT (ESOA)
- RECONCILIATION REPORTS FOR TITLE IV AND STATE PROGRAMS STATE GRANT AND SCHOLARSHIP AWARD ROSTER AND REPORTS
- FEDERAL WORK-STUDY ADMINISTRATIVE RECORDS

V. STUDENT EMPLOYMENT AND STUDENT WORK STUDY

- WORK STUDY AND STUDENT ASSISTANT APPLICATIONS (NOT HIRED)
- STUDENT WORKERS PERSONNEL FILES (OFFICIAL)
- STUDENT WORKERS PERSONNEL FILES (DEPARTMENTAL)

- FISCAL AND BUDGET REPORTS FOR STUDENT WORKERS

III. GUIDELINES APPLICABLE TO THIS GRS:

A. Preservation of Historical 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 financial aid records will rarely be classified as historical documents.

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. 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.

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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.

All records in this Financial Aid General Records Schedule are subject to federal audit on a periodic basis and need to be retained until the completion of audits and any findings are resolved as well as the additional holding period as detailed throughout this document.

I. FINANCIAL AID STUDENT RECORDS

NOTE: Retention periods for Financial Aid Student Records are based mainly on recommendations and requirements found in 34 CFR 668.24 and 674.19, the Federal Student Aid Handbook, and recommendations of the American Association of Collegiate Registrars and Admission Officers AACRAO.

The records retention time periods provided below the event signaling the beginning of the retention clock is the end of the award year, which is June 30 at all UW campuses.

UWSFA001

GENERAL STUDENT RECORDS – FINANCIAL AID

The general student records regarding financial aid span a variety of documents which are maintained in paper form or as scanned documents in document imaging systems. These records may also be referred to as “financial aid folders”. Documents are sent by students to apply for and verify need for financial aid such as loans, work study, and grants. Records that may be kept with this series include but are not limited to Student Aid Report (SAR), alien registration forms, proof of citizenship, low income statement, student academic progress letters, verification of dependent status, veteran benefit statements, veterans discharge papers, student W2s, parental tax returns, student tax returns, dislocated worker documentation, consortium agreement.

These documents are frequently filed by student name in a paper file. The records and documents are used to verify and document the student status which is asserted in the Free Application for Federal Student Aid (FAFSA). Information on the FAFSA is also forwarded to the Wisconsin Higher Education Aid Board (HEAB) (if the student indicates Wisconsin as the student's state of residence). This information is used in calculating eligibility for state aid, federal aid and school based aid. A match to the federal department of education database and from HEAB then sets in motion the transfer of funds and payments for tuition, housing, meals, etc.

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Retention Time Period

Original: EVT + 4 years EVENT=End of the Award Year in which the Student Last Attended

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA01A GENERAL STUDENT FINANCIAL AID RECORDS – FOR STUDENT WITHOUT LOANS

This record series is for those Student Financial Aid Records in which the Student was not eligible or did not accept the loan.

Retention Time Period

Original: EVT + 3 Years. EVENT=Date of application.

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA002

Student Information System (SIS) Database Records

Financial aid records are maintained within the Student Information System (SIS). To apply for federal financial aid a student must submit a Free Application for Federal Student Aid (FAFSA) to the Department of Education. This information is compiled, formatted, and transmitted electronically to the financial aid offices and the Wisconsin Higher Education Board. The data is referred to as the Institutional Student Information Record (ISIR). A financial aid office then imports that ISIR data directly into the SIS. The ISIR data along with other pieces of information contained in the SIS is used to determine a student's financial need. Once the need is determined the student is sent an award notification. A student view of this information indicates the name of the university, the award year, type of financial aid for which the student eligible, and provides a chance for the student to accept or turn down the aid. Once the offered aid has been accepted, the Bursar's office can apply that aid to the students account at the appropriate time. Other data records in the SIS system related to the student's academic program, grades, and classes are kept permanently and are necessary for the Registrar's purposes and production of transcripts.

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Student Last Attended

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

II. FISCAL RECORDS

This section includes general fiscal records maintained to document handling and disbursing of funds related to loans, work study and grants that are part of the UW System. Some fiscal records related to financial aid are already covered in the General Records Schedule Fiscal and Accounting (February 2007) such as audit documentation (A-133), reconciliation work papers, expenditures-accounts payable, receipts-accounts receivable, collection case files, bank statements, and journal entries to the shared financial system (general ledger). The general ledger (control accounts) and related subsidiary ledgers must identify each Title IV program transaction separate from other school transactions. Other similar transactions are related to Wisconsin Higher Education Aids Board and campus based scholarships available to students. These records also appear in the general ledger.

UWSFA003

STUDENT ACCOUNTS RECORDS

Account records reflect the balance of funds owed by or to a student for University tuition or services. Student accounts include each student's institutional charges, cash payment, Title IV payment, cash disbursements and returned funds. These records are required for each enrollment period and must be maintained on a current basis. Email notices are generated about statement of expenses and funds. The university administrative and financial services staff and students view charges and make transactions related to bills for on campus housing rent, meal plan, health center and other services. The statement of account is also connected to a payment profile which contains a credit card or electronic transfer options, credit card name, credit card number and credit card expiration date. An institution shall retain a record of disbursements for each loan made using a Master Promissory Note (MPN). This record must show the data and amount of each disbursement.

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Student Last Attended

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA03A STUDENT ACCOUNTS – FOR STUDENT WITHOUT LOANS

This record series is for those Student Account Records in which the Student was not eligible or did not accept the loan.

Retention Time Period

Original: EVT + 4 Years. EVENT=End of the Fiscal Year

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

III. GENERAL INSTITUTIONAL RECORDS

UWSFA004

PROGRAM PARTICIPATION AGREEMENT

Written agreement signed by both a top official at an institution and the U.S. Secretary of Education that permits the institution to participate in one or more federal Title IV student aid programs. The signed agreement makes the institution's initial and continued eligibility to participate in Title IV programs conditional on compliance with all provisions of the applicable laws and program regulations. This agreement may have to be updated periodically due to changes at the institution. The program participation agreement (PPA) is created and maintained electronically in the Federal Department of Education system via website. The school financial aid office creates the document and maintains an original hardcopy, which contains signatures of all parties.

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Student Last Attended

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA005

PROGRAM REVIEW RECORDS

Records documenting university program reviews which include department/program self-evaluation studies; outside agency reviews including accrediting agencies for areas such as nursing, social work, education, etc.; college and committee review and approvals; and approvals of deans, faculty senate, provost and the UW system. The review process and related activities can take multiple years. The review helps validate the eligibility of the university to participate with students in financial aid grants, loans and scholarship programs.

**The determination of archival value of official file will be made by each institution's archives.*

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Report was submitted

Disposition: Transfer to University Archives*

Copies: When no longer needed for administrative or quality control purposes destroy

PII: No

Confidential: No

UWSFA006

ACCREDITING AND LICENSING AGENCY REVIEWS, APPROVALS AND REPORTS

Reports, letters, lists, spreadsheets, forms, and other background communications are kept operationally by departments and used to inform the State Department of Licensing and Regulation that students have met qualifications to be tested and licensed. These records also serve as documentation for reports issued to the federal Department of

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Education affirming licensing of various programs and indicate the cycle of accreditation and licensing.

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Report was submitted

Disposition: Destroy

Copies: When no longer needed for administrative or quality control purposes destroy

PII: No

Confidential: No

UWSFA007

REMOTE SITES REPORT

This report describes the locations, programs, and effective dates for classes being taught at sites non-adjacent to the UW campus in question. The report is sent to the Higher Learning Commission (HLC) of the North Central Association of Colleges and Schools, the federal Department of Education and the UW system. **The determination of archival value of official file will be made by each institution's archives.*

Retention Time Period

Original: EVT + 4 years EVENT=End of the Award Year in which the Report was submitted

Disposition: Transfer to University Archives*

Copies: When no longer needed for administrative or quality control purposes destroy

PII: No

Confidential: No

UWSFA008

STUDENT GRANT ADMINISTRATIVE FILES

Various forms and/or institutional applications used by Financial Aid officers to request and monitor a series of federal and state grants. Documents covered by this series include rosters of eligible recipients, error listing reports, and Common Origination and Disbursement student records, as well as internal correspondence related to each.

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Student Last Attended

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA009

STUDENT GRANT VOUCHERS

Student vouchers used for individual grant disbursement and reporting and related documentation, including correspondence related to the vouchers and voucher request forms.

Retention Time Period

Original: EVT + 4 Years EVENT=End of award year for which the aid was awarded

Disposition: Destroy Confidential

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Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA010

MILITARY EDUCATION BENEFITS AND SUPPORTING RECORDS

Various forms and/or institutional applications used by the Department of Financial Aid to request and monitor a series of federal and state military education benefits. Main category of records include the following: Federal: VA Benefits Request form, Change of Course Load/Credits form, 22-1995 Change of Place or Program (vets), 22-5490 Change of Place or Program (dependents) and State: WDVA 2029 Application for the WI GI Bill, Request form to Activate/Re-activate WI GI Bill, Request form to Suspend WI GI Bill, DMA form 189 National Guard Tuition Reimbursement Grant applications, and WDVA 2200 Veterans Education Tuition Reimbursement Grant application.

Retention Time Period

Original: EVT + 4 Years EVENT=End of award year for which the aid was awarded

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA011

STUDENT LOAN PROGRAM ADMINISTRATION

Various documents, forms and/or institutional loan applications used to request and monitor a series of federal and state loan programs. Documents in the files include general records on loan entrance and loan exit counseling, truth in lending documents, institutional loan applications, and miscellaneous correspondence from lenders.

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Student Last Attended

Disposition: Destroy Confidential

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA012

REPORT TO HIGHER LEARNING COMMISSION

Review Report to the Higher Learning Commission (HLC) entitled Annual Institutional Data Update (AIDU). Parts of the report include information on contacts, federal compliance, headcount statistics, numbers of certificate programs, and number of degrees awarded, contractual relationships, and a composite financial index. **The*

determination of archival value of official file will be made by each institution's archives.

Retention Time Period

Original: EVT + 4 Years EVENT= End of the Award Year in which the Report was submitted

Disposition: Transfer to University Archives*

Copies: When no longer needed for administrative or quality control purposes destroy

PII: No

Confidential: No

IV. REPORTING RECORDS

UWSFA013

FISCAL OPERATIONS REPORT AND APPLICATION TO PARTICIPATE (FISAP)

Report on cumulative activity in the Federal Perkins Loan Program, and report on the expenditure of any campus-based program funds in the completed award year. All schools that wish to request funding under the campus-based programs for any award year are required to electronically submit a FISAP via a specific federal Department of Education website. This allows a school to complete and submit its FISAP online, receive real-time validation edits, and access prior-year data to assist in completing the FISAP. The FISAP is required for each campus to be allocated funds for the campus-based federal financial aid programs for the next award year.

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Report was submitted

Disposition: Destroy

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: No

Confidential: No

UWSFA014

ANNUAL OPERATING REPORT (AOR)

These are reports annual and cumulative loan activity of Title VII loan programs. This report includes calculation of excess cash and the need for additional funding. The U.S. Department of Health and Human Services has a website which is used to submit this report electronically. This allows a school to receive real-time validation edits and verification of report submittal. The AOR is required to participate in the Title VII programs.

Retention Time Period

Original: EVT + 4 Years EVENT=End of the Award Year in which the Report was submitted

Disposition: Destroy

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: No

Confidential: No

UWSFA015

STUDENT LOAN REPAYMENT RECORDS

Records documenting repayment of Perkins and Stafford Loans as well as all other student loans, including record of collection activities, financial arrangements, forbearance, deferment, or cancellation forms; loan verifications for consolidation; exit interview documentation: truth and lending statement, repayment schedule, statement of rights and responsibilities; copies of small claims court documents such as summons and complaint, evidence of U.S. Mail delivery and attempts, copies of letters to borrower, screen prints of billing vendor system, credit reports, information and reference sheets, and electronic information in university and billing agent systems. Payment history and collection activity should be maintained subject to audit to comply with credit bureau reporting requirements. Electronic information of payment history and collection activity must be maintained for 7 years subject to audit to comply with credit bureau reporting.

Retention Time Period

Original: EVT + 7 Years EVENT=The date on which a loan is assigned to the Department, Cancelled, or Repaid.

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA016

PERKINS ORIGINAL PROMISSORY NOTE

The Federal Perkins Loan Master Promissory Note contains spaces for name, social security number, birth date, address, school name and address, annual interest rate and signature, plus a statement of terms and conditions. Perkins loan borrowers are required to complete Perkins Loan Entrance Counseling and Master Promissory Note (MPN). The school makes the loan with funds from the federal Department of Education to the student under the terms of the MPN. The promissory note remains on file with the school and stays active for subsequent loans at the university and is returned to the student borrower after full payment (debt satisfied) and the note is closed for future disbursements. The promissory note may also be assigned and the original signed note sent to the Department of Education for collection if not paid. Perkins MPNs are valid for 10 years following the signature if funds are disbursed in the first year. The signed MPN must be closed for further disbursements prior to returning to the borrower to avoid future loans from being disbursed without a valid note. The signed notes are returned to the borrower 6 weeks after the transaction that closes the loan and promissory note or transfer the note to the Department of Education as appropriate. Electronic MPN must be stored electronically at least 4 years after all loans made on the note are satisfied along with the disbursement records electronic authentication and signature records. The records are kept within accordance with § 34CFR 674.19 Perkins Loans - Fiscal procedures and records.

Retention Time Period

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Original: EVT + 4 Years EVENT= The date the loan is satisfied or the documents are needed to enforce the obligation.

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA017

STUDENT LOAN CASE FILES (NON-PERKINS) - PROMISSORY NOTE

Documentation regarding individual loans disbursed to students by the university. Records include promissory notes, truth-in-leading documents, entrance and exit counseling, loan applications and certifications, disbursement records and associated cover letters, and miscellaneous correspondence from lenders. These case files include a variety of loans for a wide variety of funded from sources other than Title IV such as those related to nursing, pharmacy and medical school. Case file and records related to short term loans for student emergency situations and other institutional loans are also included in this series. The promissory note remains on file with the school and stays active for subsequent loans at the university and is returned to the student borrower after full payment (debt satisfied) and the note is closed for future disbursements. Original promissory note is marked paid, copied and returned to borrower 6 weeks after the transaction that closes the loan.

Retention Time Period

Original: EVT + 4 Years EVENT= The date the loan is satisfied or the documents are needed to enforce the obligation.

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA018

BUREAU OF INDIAN AFFAIRS CERTIFICATIONS

Forms and other documentation used to request and monitor federal Bureau of Indian Affairs Grants, Tribal Grants, and Wisconsin Indian Grants. These records contain student's name, address, Social Security numbers, tribe, and the year in school, marital status, the number of dependents, student budget, assessed need, award, Wisconsin state Native American grant recommendation, and the tribal Bureau of Native American Affairs grant recommendation. This form must be submitted to the tribe and state of Wisconsin in order for student to receive money from their tribe and the state.

Retention Time Period

Original: EVT + 7 Years EVENT= Date of Application

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

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PII: Yes

Confidential: Yes

UWSFA019

FEDERAL PELL GRANT ELECTRONIC STATEMENTS OF ACCOUNT (ESOA)

These are official statements from the federal Department of Education that sets a school's authorization level for the upcoming award year and project adjustments to the school's Title IV program funding needs. ESOAs are produced for the Federal Pell Grant Program. An ESOA also details the amount expended to date. The Department of Education produces an ESOA whenever there is an adjustment to a school's current accepted and posted disbursement amount.

Retention Time Period

Original: EVT + 4 Years EVENT= End of the award year in which the student last attended.

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA020

RECONCILIATION REPORTS FOR TITLE IV AND STATE PROGRAMS

Reports on reconciliation of Student Information System Data with student data obtained from the federal Department of Education and from the Shared Financial systems general ledger. The reconciliation process compares Student Information System (SIS) to information from the Department of Education's by student. The funds at hand have been drawn down currently via the web G5 system of Department of Education. The reconciliation process also compares SIS to the general ledger, shared financial system (SFS). These reports emphasize programs such as PELL, SEOG, Perkins, Federal Work study (FWS), and various state grant and loan programs.

Retention Time Period

Original: EVT + 4 Years EVENT= End of the Award Year in which the Report was submitted

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA021

STATE GRANT AND SCHOLARSHIP AWARD ROSTER AND REPORTS

Reports provide a method between the Higher Educational Aids Board (HEAB) and the university for checking accuracy of data. HEAB sends to the university the student name and social security number, amount of grant, types of grants, and loans. Information details are verified. The university reviews award types and amounts by student and

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cross references information in the student information system (SIS) to verify correctness and makes changes accordingly.

Retention Time Period

Original: EVT + 4 years EVENT= End of the Award Year in which the Report was submitted

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

V. STUDENT EMPLOYMENT AND STUDENT WORK STUDY

This employment section focuses on students who work for the university and are many times funded by federal work study (FWS) or from other funding sources which make it part of the financial aid general records schedule.

UWSFA022

FEDERAL WORK-STUDY ADMINISTRATIVE RECORDS

Non-personal information relating to HR administration of Federal Work-Study programs on campus. Documents covered include various off-campus employer contracts, salary cash transfer forms, and other information and correspondence concerning the systemic administration of work-study programs.

Retention Time Period

Original: EVT + 4 Years EVENT= End of the award year in which the student last attended.

Disposition: Destroy

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: No

Confidential: No

UWSFA023

WORK STUDY AND STUDENT ASSISTANT POSITION APPLICATIONS (NOT HIRED)

The applications serve as a basis for departments to begin a selection and interview process from among multiple applicants. These files are kept for students who are in the process of being considered for hire for federal work study positions or other categories of student employment. These files contain the original application for work study and student assistant positions, which contain name, address, telephone, work experience, skills, references and federal work study funding status used to introduce the student to an on-campus employer. Position applications may take the form of a letter, resume, or a form. The applications also indicate work time availability. If the student is hired this application becomes part of the student workers personnel files (departmental) for student workers records series (UWSFA025) and not for the human resources official files. This series does not pertain to graduate teaching or research positions.

Retention Time Period

UNIVERSITY OF WISCONSIN SYSTEM FINANCIAL AID GENERAL RECORDS SCHEDULE

Original: EVT + 1 Years EVENT= Date of Application

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA024

WORK STUDY AND STUDENT WORKERS PERSONNEL FILES (OFFICIAL)

Official personnel file for student workers, usually maintained by human resources, including Direct Deposit Authorization with copy of canceled check, W4 Form Employee's Withholding Allowance Certificate, Statement of Selective Service Compliance for Certain Student Employment (males), and hardcopy of time cards, emails and letters. Employment Eligibility Verification (I-9) is filed separately from the official student worker file and has a separate retention schedule.

Retention Time Period

Original: EVT + 7 Years. EVENT= End of last fiscal year of employment

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA025

WORK STUDY AND STUDENT WORKERS PERSONNEL FILES (DEPARTMENTAL)

Unofficial personnel file for student worker, usually maintained by the department chair, office manager, or first-line supervisor including a position application form, a student hiring notification slip, a letter of award, reference report, and hardcopy of some time cards, emails and letters. The W4 Form Employee Withholding and photocopies of I-9 forms, Social Security cards and other identification cards and checks must not be kept in these departmental files.

Retention Time Period

Original: EVT + 1 Year. EVENT= End of last fiscal year of employment

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

UWSFA026

FISCAL AND BUDGET REPORTS FOR STUDENT WORKERS

Reports created with existing data from time reporting and payroll systems to monitor expenses against budgeted funds.

Retention Time Period

UNIVERSITY OF WISCONSIN SYSTEM FINANCIAL AID GENERAL RECORDS SCHEDULE

Original: EVT + 1 Year. EVENT= End of last fiscal year of employment

Disposition: Destroy Confidentially

Copies: When no longer needed for administrative or quality control purposes destroy confidentially

PII: Yes

Confidential: Yes

****NOTE: For Student Workers Criminal Background Check Records Series - Refer to the DOA Classified HR Schedule for retention. Refer to Records Series HR000017.**

Mark Blum
State Archivist

NOV 20 2012

[Signature] 12-3-12
Executive Secretary PRB

APPROVAL SUBJECT TO 10-YEAR
SUNSET. RESUBMITTAL REQUIRED
PRIOR TO November 2022