

Admissions Records for Applicants Who Do Not Enroll

Record Type	Document Type	Description	Retention Period	Repository (Responsible Department)	System of Record	Paper or Electronic
Admissions Documents	Admissions letters	Notices of admission, waitlist, and denial	3 years	Admissions	ERX	Both
Admissions Documents	Admissions correspondence	Emails, communications via CRM, or other correspondence	1 year	Admissions	ERX	Electronic
Admissions Documents	Waivers of rights of access (admissions)	Waiving right of access to admission letters of recommendation	1 year	Admissions	ERX	Electronic
Application Materials	Applications for admission and re-admission	Admission application such as undergraduate, graduate, international, or non-degree/special admittance	1 year	Admissions	ERX	Electronic
Application Materials	Credit by examination	Reports/scores on Advanced Placement	1 year	Admissions	ERX	Electronic
Application Materials	Entrance examination reports/test scores	Standardized test scores, such as GRE, TOEFL, MCAT, etc.	1 year	Admissions	ERX	Electronic
Application Materials	Letters of recommendation (admissions)		1 year	Admissions	ERX	Electronic
Application Materials	Placement test records/scores		1 year	Admissions	ERX	Electronic
Application Materials	Test scores (other)		1 year	Admissions	ERX	Electronic
Application Materials	Transcripts (other colleges)		1 year	Admissions	ERX	Electronic
International Student Documents	Alien registration receipt card	Evidence of admissibility as a permanent resident	1 year	Admissions	SEVIS	Electronic
International Student Documents	Employment authorization (work permit)		1 year	Admissions	SEVIS	Electronic
International Student Documents	I20	Certificate of eligibility for F-1 visa status	1 year	Admissions	SEVIS	Electronic
International Student Documents	I94 card	Document issued to non-immigrants; Also known as Arrival Departure Record	1 year	Admissions	SEVIS	Electronic
International Student Documents	Passport number		1 year	Admissions	SEVIS	Electronic
International Student Documents	Statement of educational costs	Estimate of total school year costs	1 year	Admissions	SEVIS	Electronic
International Student Documents	Statement of financial responsibility	Evidence of adequate financial resources	1 year	Admissions	SEVIS	Electronic

Admissions Records for Applicants Who Do Enroll

Record Type	Document Type	Description	Retention Period	Repository (Responsible Department)	System of Record	Paper or Electronic
Admissions Documents	Admissions letters	Notices of admission, waitlist, and denial	3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Both
Admissions Documents	Admissions correspondence	Emails, communications via CRM, or other correspondence	3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
Admissions Documents	Waivers of rights of access (admissions)	Waiving right of access to admission letters of recommendation	3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
Application Materials	Applications for admission and re-admission	Admission application such as undergraduate, graduate, international, or non-degree/special admittance	3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
Application Materials	Credit by examination	Reports/scores on Advanced Placement	3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
Application Materials	Entrance examination reports/test scores	Standardized test scores, such as GRE, TOEFL, MCAT, etc.	3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
Application Materials	Medical records	Immunization records	3 years after graduation or 3 years after last day of attendance	Student Services	PowerCampus	Electronic
Application Materials	Letters of recommendation (admissions)		3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
Application Materials	Military documents		3 years after graduation or 3 years after last day of attendance	Registration	None	Paper or Electronic
Application Materials	Placement test records/scores		3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
Application Materials	Test scores (other)		3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
Application Materials	Transcripts (other colleges)		3 years after graduation or 3 years after last day of attendance	Admissions	ERX	Electronic
International Student Documents	Alien registration card	Evidence of admissibility as a permanent resident	3 years after graduation or 3 years after last day of attendance	Admissions	SEVIS	Electronic

International Student Documents	DS-2019	Certificate of eligibility for J1 visa status (formerly IAP-66)	3 years after graduation or 3 years after last day of attendance	Human Resources	Employee File	Paper or Electronic
International Student Documents	Employment Authorization, (work permit) if granted		3 years after graduation or 3 years after last day of attendance	Admissions	SEVIS	Electronic
International Student Documents	I-20	Certificate of eligibility for F-1 visa status	3 years after graduation or 3 years after last day of attendance	Admissions	SEVIS	Electronic
International Student Documents	I-95 Card (copy)	Document issued to non-immigrants; also known as arrival Departure Record	3 years after graduation or 3 years after last day of attendance	Admissions	SEVIS	Electronic
International Student Documents	Passport number		3 years after graduation or 3 years after last day of attendance	Admissions	SEVIS	Electronic
International Student Documents	Statement of educational costs	Estimate of total school year costs	3 years after graduation or 3 years after last day of attendance	Admissions	SEVIS	Electronic
International Student Documents	Statement of financial responsibility	Evidence of adequate resources	3 years after graduation or 3 years after last day of attendance	Admissions	SEVIS	Electronic

Student Enrolled: Registration and Enrollment Records

Record Type	Document Type	Description	Retention Period	Repository (Responsible Departments)	System of Record	Paper or Electronic
Miscellaneous Records	Name change authorizations	Documents to support the request to formally change a students name within their student record (e.g., a marriage certificate)	Until administrative need is satisfied	Registration	None	Paper
Miscellaneous Records	Personal data information forms	Change of address, race, ethnicity, and other demographic data	Until administrative need is satisfied	Registration	PowerCampus	Electronic
Miscellaneous Records	Transfer credit evaluations	Evaluations and evaluation instrument used to assess and determine the transfer of academic credits from another college and/or university	3 years after graduation or 3 years after last day of attendance	Registration	None	Both
Registration and Enrollment Records	Class schedules (students)	Student schedules for each term	Until administrative need is satisfied	Registration	PowerCampus	Electronic
Registration and Enrollment Records	Class lists	Record of class rosters for each term	Until administrative need is satisfied	Registration	PowerCampus	Electronic
Registration and Enrollment Records	Course repeat form and approval		Until administrative need is satisfied	Registration	None	Electronic
Registration and Enrollment Records	Credit/no credit, audit, or pass/no pass approvals	Authorization/approval for various enrollment options within a course	Until administrative need is satisfied	Registration	None	Electronic
Registration and Enrollment Records	Enrollment changes	Record of student add/drop/withdrawals from class	Until administrative need is satisfied	Registration	PowerCampus	Electronic
Registration and Enrollment Records	Hold or encumbrance authorizations	Registration and transcript holds	Until administrative need is satisfied	Registration	PowerCampus	Electronic
Registration and Enrollment Records	Registration/enrollment records	Initial registration forms, current enrollment records	Until administrative need is satisfied	Registration	PowerCampus	Electronic
Registration and Enrollment Records	Withdrawals/cancellation of enrollments records	Record of request to withdraw from all courses	Until administrative need is satisfied	Registration	PowerCampus	Electronic

Student Enrolled: Course Grade Information

Record Type	Document Type	Description	Retention Period	Repository (Responsible Departments)	System of Record	Paper or Electronic
Grade and scholarship/deficiency records	Exams (final)/graded coursework		1 year after course completion	Academic program/College	PowerCampus; Moodle	Both
Grade and scholarship/deficiency records	Grade appeal/complaint	Student grade appeals/disputes	1 year after course completion	Academic program/College	Student file	Both
Grade and scholarship/deficiency records	Grade book (faculty)	Record of students in course and work completed	5 years after course completion	Academic program/College	PowerCampus; Moodle	Electronic
Grade and scholarship/deficiency records	Grade change forms	Record of authorization of grade change	Permanent	Registration	Student file	Paper
Grade and scholarship/deficiency records	Grade reports (midterms)	Record of midterm grades or other course milestone grades submitted by faculty before the submission of final grades in a course	Until administrative need is satisfied	Academic program/College	PowerCampus; Moodle	Electronic
Grade and scholarship/deficiency records	Grade rolls or grade submission sheets/data	Original record of grades submitted at the end of the term	Permanent	Registration	PowerCampus; Moodle	Electronic
Grade and scholarship/deficiency records	Incomplete grade contracts	Requirements for course completion and Course Syllabus for student completion and verifiable need to allow a grade of 'Incomplete - I'	Permanent	Academic program/College	Student file	Both
Visual recording of proctored assessments	Testing Center recordings	Visual recordings of assessments proctored at the UWS testing center	30 days from when recording is made or until administrative need is satisfied	Technical Services	Onsite DVR	Electronic
Visual recording in assessment center	Assessment Center recordings	Visual recordings of assessments captured in the UWS Assessment Center	1 year from when recording is made or until administrative need is satisfied	Technical Services	Learning Space	Electronic
Visual recording of proctored assessments	ProctorU recordings	Visual recordings of assessments proctored by ProctorU and student profile pictures	7 years after recording is made	Center for Teaching and Learning	ProctorU server	Electronic
Photo identification for proctored assessments	ProctorU photo ID records	Copies of photo IDs used to verify student identity	24 hours from when photo ID is provided	Center for Teaching and Learning	ProctorU server	Electronic

Student Enrolled: Academic Program Records

Record Type	Document Type	Description	Retention Period	Repository (Responsible Departments)	System of Record	Paper or Electronic
Academic Program Records	Academic advising records	Official plans of study; Official course sequencing plans	3 years after graduation or 3 years after last day of attendance	Academic program/College	N/A	Electronic
Academic Program Records	Academic warning	Notice of academic action related to academic non-performance	3 years after graduation or 3 years after last day of attendance	Registration	PowerCampus; Student file	Both
Academic Program Records	Academic probation	Notice of academic action related to academic non-performance	3 years after graduation or 3 years after last day of attendance	Registration	PowerCampus; Student file	Both
Academic Program Records	Academic dismissal	Notice of academic action related to academic non-performance	Permanent	Registration	PowerCampus; Student file	Both
Academic Program Records	Academic integrity violations (with sanctions, if applicable)	Notice of violation of academic integrity policies including sanctions, if any	Permanent	Registration	PowerCampus; Student file	Both
Academic Program Records	Academic competency assessments	Competency assessments (e.g. CSAs) or other milestone evaluations needed to satisfy course, program, or degree requirements	Permanent	Academic program/College	Student file	Paper or Electronic
Academic Program Records	Correspondence (student)	Correspondence regarding student inquires about their academic record	3 years after graduation or 3 years after last day of attendance	Registration	Student file	Paper or Electronic
Academic Program Records	Disciplinary action records	Records, documents, or notices regarding sanctions related to student misconduct	3 years after graduation or 3 years after last day of attendance	Student Services	Student file	Paper or Electronic
Academic Program Records	Appeal, grievance, or complaint (by student)	Grade appeals, administrative decision appeals, academic grievances, financial grievances, other grievances/complaints	Until administrative need is satisfied	Academic program/College; VPAA office; Registration	Student file	Paper or Electronic
Academic Program Records	Leave (temporary leave and leave of absence)	Documents related to student leave including leave approval forms, correspondence, and plans	Until administrative need is satisfied	Academic program/College; Registration		Paper or Electronic
Academic Program Records	Thesis/dissertation	Official and approved dissertation and/or thesis	Permanent	Academic program/College	Student file	Paper or Electronic
Academic Program Records	Transcripts	Permanent academic record including courses taken, credits awarded, and final grades	Permanent	Registration	PowerCampus	Paper or Electronic

Student Enrolled: Graduation and Degree Award

Record Type	Document Type	Description	Retention Period	Repository (Responsible Departments)	System of Record	Paper or Electronic
Degree and Certificate Records	Application for degree or other credential	Degree application, record of degree name, etc.	3 years after graduation or until administrative need is satisfied	Registrar	None	Paper or Electronic
Degree and Certificate Records	Degree audit records	Degree audit records in support of graduation clearing	3 years after graduation or until administrative need is satisfied	Registrar	PowerCampus	Electronic
Degree and Certificate Records	Graduation lists	Lists of graduates for graduating class	Permanent	Registrar	PowerCampus	Electronic
Degree and Certificate Records	Honors lists	Lists of graduates that have designated honors classifications at the time of graduation	Permanent		PowerCampus	Electronic
Degree and Certificate Records	Substitution/waivers	Approvals to meet program requirements with administrative action	Permanent	Registrar	PowerCampus	Electronic
Graduation	Commencement programs	Published record of graduates for public distribution (at least 1-2 copies must be retained)	Permanent		Library	Paper
Graduation	Records of degrees granted by institution per graduation term and/or annually		Permanent	Institutional Effectiveness	PowerCampus	Electronic
Graduation	Diploma Sent List	List of diploma recipients for given term (shows degree conferred, date mailed to student & address mailed to)	Until administrative need is satisfied	Registrar	None	Paper or Electronic
Graduation	Graduation address lists	Lists of mailing address for graduates in specific graduating class showing to which address the diploma was mailed	Until administrative need is satisfied	Registrar	None	Electronic
Graduation	Returned diplomas	Diplomas returned to university by postal service as "undeliverable"	5 years	Registrar	None	Paper

Student Enrolled: Student Conduct and Behavior Records

Record Type	Record Title	Description	Retention Period	Respository (Responsible Departments)	System of Record	Paper or Electronic
Student Conduct and Behavior Records	Conduct: Academic Integrity Code Violations (with sanctions)	Notice of violation of academic integrity policies including sanctions, if any	7 years from last incident	Academic Program	Student File; PowerCampus	Both
Student Conduct and Behavior Records	Grievance/Complaint on Faculty / Staff / Student (by student)	<p>Complaints filed by a student on another student and/or faculty/ staff that are not Academic in Nature</p> <p>These files may contain the initial grievance, materials related to a grievance investigation, investigation outcomes notices, and any documents describing sanctions related to the grievance investigation (if applicable).</p>	<p>Grievance investigation materials should be kept until administrative need is satisfied</p> <p>Any sanctions related to student conduct should be kept permanently.</p>	Student Services	Student File; PowerCampus; Student Affairs records	Both
Student Conduct and Behavior Records	Student Conduct Records	Discipline records other than academic misconduct that are FERPA protected and suspension/ expulsion decisions that are coded on the students official transcript	7 years from last incident except suspension/expulsion which are permanent	Student Services	TIPs and/or Paper File	Both
Student Conduct and Behavior Records	Conduct: Conduct/Behavioral Dismissal	Notice of academic action related to non-academic student conduct or behavioral issues.	Permanent	Registrar	Student File; PowerCampus	Both
Student Conduct and Behavior Records	Conduct: Conduct/Behavioral Suspension	Notice of academic action related to non-academic student conduct or behavioral issues.	Permanent	Registrar	Student File; PowerCampus	Both

Student Enrolled: Certification/Verification Records						
Record Type	Document Type	Description	Retention Period	Repository (Responsible Departments)	System of Record	Paper or Electronic
Certification/Verification Records	Grade change forms	Record (form) of authorization to change grade	Until administrative need is satisfied	Registration	None	Paper or Electronic
Certification/Verification Records	Enrollment verifications	Verifications of enrollment, graduation, GPA, and other related academics	Until administrative need is satisfied	Registration	None	Paper or Electronic
Certification/Verification Records	Transcript requests (student)	Official transcript requests by student	Until administrative need is satisfied	Registration	PowerCampus	Paper or Electronic
Certification/Verification Records	Certifying documents for federal VA benefits	Certifying documents for federal VA benefits	3 years after graduation or 3 years after last day of attendance	Registration	None	Paper or Electronic

Student Enrolled: Correspondence related to Academic Records

Record Type	Document Type	Description	Retention Period	Repository (Responsible Departments)	System of Record	Paper or Electronic
Correspondence related to Academic Program	Academic Advising Records	Includes notes about a student, possible courses the student would take and correspondence with a student	5 years after graduation or 5 years after last day of attendance	Various Departments	None	Paper or Electronic
Correspondence related to Academic Program	Correspondence (student)	Related to academic records and inquiries – not part of student Academic Record	1 year after correspondence term	Various Departments	None	Paper or Electronic

FERPA-Compliance Records

Record Type	Document Type	Description	Retention Period	Repository (Responsible Departments)	System of Record	Paper or Electronic
FERPA-Compliance Records	Requests for formal hearings	Student-initiated request for formal hearing regarding amendment of education record	Permanent	Registrar	Student file	Paper
FERPA-Compliance Records	Requests for and disclosures of personally identifiable information	Necessary for compliance with record-keeping requirements in FERPA	Permanent	Registrar	None	Paper or Electronic
FERPA-Compliance Records	Requests for nondisclosure of directory information	Student request to opt-out of directory information disclosure	Permanent or Until Terminated by Student	Registrar	Student file	Paper
FERPA-Compliance Records	Statements on content of records regarding hearing panel discussions	If student request for amendment of record not granted, then student statement is included in record	Permanent	Registrar	Student file	Paper
FERPA-Compliance Records	Written consent for records disclosure	Student signed (electronic or paper) authorization for disclosure of education record	Permanent or Until Terminated by Student	Registrar	Student file	Paper or Electronic
FERPA-Compliance Records	Waivers for rights of access		Until Terminated by Student	Registrar	Student file	Paper
FERPA-Compliance Records	Written decisions of hearing panels	Decisions resulting from formal hearings regarding amendments of education records	Permanent	Registrar	Student file	Paper or Electronic

Financial Aid Records

Record Type	Description (if needed)	Retention Period	Respository (Responsible Departments)	System of Record	Paper or Electronic	Related Authority
Loan application(s)	Application data submitted to the Dept. of Education of lender by the university on behalf of the student	3 years after award	Financial Aid	PowerFAIDS	Paper or Electronic PLUS=Paper	US Department of Education
Data used to establish student's admission, enrollment status, and period of enrollment	Report sent from ERX giving initial admittance status. PowerCampus reports help verify enrollment status as needed.	3 years last date of attendance	Financial Aid	ERX, PowerCampus, PowerFAIDS	Electronic	US Department of Education
Date and amount of disbursements	Necessary for loan disbursements as reported to COD	3 years last date of attendance	Financial Aid	PowerFAIDS	Electronic	US Department of Education
Documentation of student's eligibility	Needed for awarding of financial aid.	3 years last date of attendance	Financial Aid	PowerFAIDS	Both	US Department of Education
Documentation of student's satisfactory academic progress	Required for student's continued financial aid eligibility. Report from ARC states pace and GPA.	3 years last date of attendance	Financial Aid	PowerFAIDS, Report from ARC	Both	US Department of Education
Documentation of student's program of study and enrolled courses	Student can receive aid only for coursework needed for graduation.	3 years after award	Financial Aid	PowerCampus, Registrar, Plan of Study	Electronic	US Department of Education
Documentation related to the receipt of aid	Documentation related to the receipt of aid such as amount of grant, loan, of FWS award and calculations used to determine aid amounts	3 years last date of attendance	Financial Aid	PowerFAIDS		US Department of Education
Documentation of initial or exit loan counseling	DC exit counseling is done in-person. DC also encourage to complete online. Online students given instructions to complete online.	3 years last date of attendance	Financial Aid	PowerFAIDS	Both	US Department of Education
Documentation supporting the unviersity's calculation of the completion/graduation and transfer-out rate	????	3 years after award	Financial Aid			US Department of Education
Documents to verify applicants data	Depending on what is required, FA staff will request. Can be tax information or documenating household size. A wide variety of things can be requested.	3 years after award	Financial Aid	PowerFAIDS	Both	US Department of Education
Financial aid history for transfer students	Required to verify if a student has reached aggregate loan limits.	3 years after award	Financial Aid	NSLDS	Both	US Department of Education
Reports and forms used for student participation in financial aid program	As needed for adminstering FA program.	3 years after award	Financial Aid	PowerFAIDS	Electronic	US Department of Education

Student Aid Reports (SAR) or Institutional Student Information Record (ISIR)	Imported into PowerFAIDS and contains all information needed to award students	3 years last date of at	Financial Aid	PowerFAIDS	Electronic	US Department of Education
Borrowers eligibility records	Maintained with PowerFAIDS	3 years after award	Financial Aid	PowerFAIDS	Electronic	US Department of Education
Campus-based aid (Federal Work Study)	Monthly report from Business Office on FWS earnings are cross-referenced into FA excel worksheet to ensure a student earns appropriate amounts of FWS funds	3 years after award	Financial Aid	Business Office	Electronic	US Department of Education
FFEL and Direct Loans		3 years after award	Financial Aid	PowerFAIDS	Electronic	US Department of Education
Fiscal Operations Reports and Application to Participation (FISAP)	An accounting of all campus-based funds for the previous year. Campus-based funds includes Perkins, FSEOG and FWS funds. Must report in order to continue receiving funding. Has to be signed by Dr. Brimhall, but is prepared by FA, Controller and CFO.	3 years after award	Financial Aid	COD	Both	US Department of Education
Pell Grants	UWS no longer funds any Pell grant programs.	3 years after award	Financial Aid	PowerFAIDS	Electronic	US Department of Education
Perkins repayment records	Business Office maintains majority of record keeping of Perkins funding, with assistance from FA as needed. As we are preparing to reassign loans, this function will eventually be phased out.	3 years from loan date, loan assigned, cancelled, or repaid	Financial Aid	Heartland ECSI	Electronic	US Department of Education
Perkins original promissory notes	Business Office maintains records of MPN, with some possibly being in financial aid award records.	Until loan is satisfied, or documents are needed to enforce obligation	Financial Aid	Electronic if available, or with Business Office	Both	US Department of Education
All other FA reports and reports	As needed for administering FA program.	3 years after award	Financial Aid	PowerFAIDS	Electronic	US Department of Education
Cost of Attendance information	How COA information is decided and maintained from year to year. Can include survey information	3 years after award	Financial Aid	Survey Monkey, web searches as needed	Electronic	US Department of Education