

Records Retention and Disposition Schedule Policy and Procedure

Miles College complies with all federal, state and institutional Records Retention and Disposition Schedule for which the college has involvement.

Records Management Program

Each unit (Academic and Administrative), for the management of its records, must:

1. Maintain its records in a manner which is secure, cost effective, and which allows for the rapid retrieval and protection of the information contained within the record;
2. Refrain from accumulating unnecessary records which are not essential to the proper functioning of the institution or unit;
3. Protect confidential personal identifying information of employees and students; and
4. Adhere to the College records retention schedule for retention, disposal and appropriate transfer of records with archival value to the College

Records Retention Schedule - Special Schedules

Miles Records Retention Schedule (Schedule) provides for the management and disposition of institution and unit records. In addition, there may be institution or unit records unique to limited aspects of its operation and therefore, a unique records retention and disposition schedule may be developed in addition to the Schedule. A Special Records Retention Schedule (Special Schedule) must be recommended for approval by the academic and administrative unit and approved by the President.

An approved Special Records Retention Schedule must be published on the College's website

All units (academic and administrative) shall appoint at least one individual to serve as the Records Retention Officer (Administrative Assistant).

Retention Guidelines

The Schedule is a comprehensive list of records, indicating for each the official repository, length of time the records are to be maintained and their disposition. The Schedule identifies the minimum time period the listed records must be retained, meaning records disposition must not occur before this retention time period expires. When the minimum retention period has been met, the recommended disposition of the records, such as destruction or transfer to either the State or Federal Archives may be initiated. All employees (faculty and all staff) are advised to implement regular, routine disposition procedures and not to "selectively retain" some records longer than others. Certain events called "Disposition Holds" may occur that will require a stop or delay to the regular destruction, recycling or normal disposal of records.

In the event a hold is placed a disposition hold is placed a record, it should be considered for archival review/ administrative review, at that time a decision can be made to disposal.

General Rule Regarding Retention of Electronic Record or Paper Record

Records should be maintained in the most efficient cost effective format consistent with sound records management principles, and any applicable laws, rules, regulations or court decisions. When a document is maintained only in electronic format, delete it only after expiration of the retention period authorized by this schedule.

Disposition Holds Include:

Audits

When an audit of your area or function is begun, all destruction of records in your custody must cease. During the audit, records should be made available to the auditors' subject to confidentiality laws. Upon the completion and resolution of the audit, you may begin to dispose of records in accordance with the Schedule.

Investigations

When you are notified of an investigation involving your area or function, all records must be preserved until the investigation is completed. You should consult with your legal counsel for specific advice.

Litigation

When you receive notification of or reasonably anticipate litigation, you must suspend the destruction or other disposition of all records reasonably related to the subject matter of the litigation and put in place a litigation hold on the records to ensure the preservation of documents and consult with General Counsel.

All destruction of records pertaining to the litigation hold must be stopped until the matter has been resolved. You will be notified by your System or General Counsel when the matter is resolved and advised regarding the proper disposition of the records. All questions regarding litigation or disposition holds must be directed to System or institution General Counsel.

Statutory Defined Terms

"Administrative value" means the value found in records that help an agency perform its function.

"Fiscal value" means the value found in a record relating to the financial transactions and the auditing, budgeting and accounting functions of a state agency.

"Legal value" means the value found in a record which contains proof of enforceable rights, obligations or other legal standing. The term includes any record establishing:

1. Ownership, such as in titles or deeds;
2. Rights or privileges, such as in marriage licenses or drivers' licenses;
3. Obligations, such as in contracts, leases and agreements;
4. Legal conditions, such as court rulings, approved laws and regulations; or
5. Action taken by a governing body (e.g., Board of Trustee, student government, and foundation) which affects the public, such as minutes of meetings or proclamations.

"Research or archival value" means the long-term historical value remaining in a record in which the administrative, fiscal or legal value may have expired.

"Official State Record" and "Non-Records"

1. For the purposes of, an **"official state record"** means information created or received by a state agency under authority of law, regulation or other legal mandate or in connection with the transaction of public business that is preserved or appropriate for preservation by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the state agency, including, without limitation, all papers, unpublished books, maps, photographs, machine readable materials including audio and audiovisual materials, or other documentary materials, regardless of physical form or characteristics.

2. The phrase does not include non-record materials. Non-record materials include, without limitation:

(a) Published books and pamphlets, books and pamphlets printed by a governmental printer, answer pads for a telephone or other informal notes, desk calendars, stenographers' notebooks after the information contained therein has been transcribed, unused forms except ballots and as indicated in a retention schedule, brochures, newsletters, magazines, newspapers except those excerpts used as evidence of publication, scrapbooks, physical property, artifacts, library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, or stocks of publications and processed documents.

(b) Work papers used to collect or compile data, or drafts developed from those work papers, unless an appraisal conducted that indicates the work papers or drafts have legal, fiscal, research or archival value.

Destruction of Non-Records

A non-record may, if not otherwise prohibited by law, be destroyed at any time without being scheduled for destruction.

Form of Official Records

An official record can be in electronic or digital form, original paper, or may be a digital surrogate, at the discretion of the official repository.

Responsibilities for Managing Records

1. Each unit administrator or a designee must do the following:
 - a. Implement the College or unit's records-management practices;
 - b. Ensure that the records-management practices are consistent with this policy.
 - c. Assist staff within the College or unit in understanding sound records management practices.
 - d. Preserve inactive records of legal, fiscal, administrative, or historical value. These records should be transferred to the appropriate archives.
 - e. Ensure that access to confidential files is restricted. Long-term restrictions on access to selected archival records should be specified at the time of their transfer to the appropriate archives.
 - f. Set an annual period for reviewing and appropriate disposition of records.
2. Departments and divisions that maintain the College or unit records are responsible to do the following:
 - a. Implement the records management practices identified in this policy.

Records Retention Schedule Columns Explanation

The four columns in the Record Retention Schedule are explained below.

Column 1 describes the various types of records which can include:

- **Record:** Any form of recorded information, regardless of physical characteristics, that is created, received, recorded, maintained or legally filed in the course of institution or unit's business or in legal obligations. Institution/Unit Records serve as evidence of the institution or unit's organization, functions, policies, decisions, procedures, operations, transactions or other activities.
- **Non-record:** Non-record materials include, without limitation, published materials printed by a governmental printer, informal notes, unused blank forms except ballots, brochures, newsletters, magazines, catalogs, price lists, drafts, convenience copies, ad hoc reports, reference materials not relating to a specific project and any other documentation that does not serve as the record of an official action of a state agency. Non-record includes forms, databases, backup files, work papers used to collect or compile data, or drafts developed from those work papers, unless an appraisal conducted by the institution/unit or state archivist indicates that the work papers or drafts have legal, fiscal, research or archival value; and Drafts or documents that are clearly pre-decisional or deliberative.
- **Transient:** Documents including telephone messages, some emails, drafts and other documents, which serve to convey information of a temporary value, have a very short-lived administrative, legal and/or fiscal value and should be disposed in an appropriate manner once that administration, legal or fiscal use has expired.

o Typically, the retention is not a fixed period of time and is event driven; it may be as short as a few hours and could be as long as several days or weeks. A transient record is considered a non-record which may be destroyed or disposed of at any time, unless destruction is otherwise prohibited or it is subject to a legal hold.

- **Note:** Where a record falls into more than one category, the longer period governs. Caution: Departments and divisions that are not official repositories are not required to retain duplicate or multiple copies of records. However, destruction of such duplicates or copies must be in a secure manner if confidential.
- **Caution:** Certain records, for example in clinical practices, have set destruction policies based on when they are electronically scanned. Such specific policies take precedence over this general policy.

What is Email? Email is not a record type, but is a means of conveying information similar to the United States Postal Service. Its retention is based upon the content of the email message, not the fact that it is an email message.

An email (electronic mail) message is comprised of the following components:

- textual message
- metadata (To, From, Subject, Time, Date, System, etc.)
- attachments

Email has largely taken over the role of "general correspondence" and memoranda, as well as the telephone message. If the email message meets the criteria of a record, it must be managed in accordance with the Schedule.

Email Management: The key to effectively managing email is to get rid of the non-records and any transient/transitory records that have outlived their administrative/legal/fiscal value as quick as possible so only those e-mails that need to be managed on an on-going basis are left. One should approach the management of email in a manner similar to the handling "snail mail" at work and home

- Open the email and review the document's content; this may mean thoroughly reading the document, but usually, only a cursory look at the document, the subject line, and/or the sender is needed to determine whether:
 - o **It is a non-record** and should be deleted immediately, just as "junk snail-mail" non- records are thrown into the trash can or recycle bin.
 - o **It is a transient/transitory record** which should be disposed of as soon as the information is no longer of administrative, legal or fiscal value. A "Transient/Transitory" folder or a sub-folder in a series for the transient/transitory messages can be created to help manage these records
 - o **It is a record** and therefore, should be placed in an appropriate folder by record type/series, project, retention time, or other filing schema that works for one's office/organization and allows that unit to effectively manage the life cycle of the record.

Column 2 identifies the Official Repository for each record.

- **Official Repository:** The unit, department, or division designated as having responsibility for retention and timely destruction of particular types of institution or unit records or that is the office of the final action or final decision. Such responsibility is assigned to the unit, department or division administrator or a designee.
- **College/Unit Archives:** The office, department or division designated as having responsibility for collecting and preserving records of historical, legal, fiscal, and administrative value. It provides permanent retention of official records of the institution, its officers, and component parts; maps and architectural records; audiovisual materials; and publications documenting the institution's history.

Column 3 sets forth the record retention periods, which can either be set periods of time or event-driven periods. Below is an explanation of retention period terminology:

- Documents are typically retained until they are no longer required for administrative purposes, and then they may be immediately disposed of or there may be a retention period set forth after the documents are no longer in use. Examples: Strategic Plans must be retained for 1 year after a new strategic plan is adopted. For employee or student records the retention period begins when the employee terminates service, the student graduates, or from the date the student last enrolled.
- Fiscal Year in which the document is created or an event occurs plus a specified time or number of fiscal years, e.g. "FY + 4 years," which means the document is to be kept for the fiscal year in which it was created plus 4 more fiscal years; "FY last date of enrollment + 7 years," which means the document is to be kept for the fiscal year in which the student last enrolled plus seven more fiscal years.
- Calendar Year in which the document is created plus a specified time or number of calendar years, e.g. "CY + 4 years," which means the document is to be kept for the calendar year in which it was created plus 4 more calendar years.
- **3 Cycles:** This retention period pertains to the retention of electronic back-up files.
- **Life of Building:** This retention period pertains specifically to buildings. The final retention period begins when a building is destroyed or sold.
- **Life of Product:** This retention period pertains specifically to products. The final retention period begins when the product is no longer in use.
- **Permanent:** Do not destroy. Maintain on site or send to Archives.
- **Until Superseded:** This retention period pertains to documents that are routinely updated and therefore, superseded by the current version.

Column 4 sets forth the proper disposition of the records following the expiration of the retention period.

Most records may be disposed of by regular means, such as recycling or deleting. Some record types are identified on retention schedules as confidential or restricted. These records must be destroyed in a secure manner that will prevent reconstruction or retrieval of the information including but not limited to incineration, shredding, pulping or secure electronic destruction by overwriting, degaussing or physical destruction of the storage media. However, many other

records may contain "sensitive" information that has not been declared by law or regulation to be confidential. Some types of "sensitive" information, "Unlawful Acts Regarding Personal Identifying Information. Disclosure of Personal Information to Governmental Agencies" also describes such records. Serious consequences may result if these records are improperly disclosed and you must destroy these records in accordance with the Schedule. If you are in doubt about the sensitivity of certain documents or about an appropriate disposal method, you should contact your supervisor.

If any record identified for regular disposition contains confidential or restricted information, then the record shall be destroyed after the period specified in the schedule, but in a secure manner.

The following are the proper disposition methods that are referred to in the Schedule:

"Regular"--Regular disposal includes, for example, discarding, throwing away, deleting or other method of disposal that does not necessarily prevent reconstruction or retrieval.

"Secure"--Secure disposal means destruction of the record that ensures the information cannot be reconstructed or retrieved, and includes, for example, incineration, maceration, shredding, pulping, or secure electronic destruction, for example, overwriting, degaussing or physical destruction of the storage media. Shred or otherwise render unreadable records with confidential information, including records containing social security numbers, credit card information, drivers' license numbers, patient treatment information, or other information as designated by an information steward.

"Archival Review"--Records with content that may be of value to the documenting the College's history, should be submitted to the institution/unit archives or State Archives for review prior to destruction. When the prescribed retention period for the College or unit records has passed, a determination of whether to preserve or dispose of the documents must be made. To decide if the record is of historic value, consult the appropriate archivist, who has the authority to designate which records are archival.

"Archives"--Records with long-term historical value in documenting the College's history must be transferred to the institution/unit archives or State Archives. These are records for which the legal, administrative or fiscal value to the institution or unit may have expired and therefore, the records can be transferred to the appropriate archives for preservation. All institutions must send any records (paper-based or electronic) that have enduring historical value to the College or State Archives. These records include, but are not limited to, the following items: annual reports, biographical information of faculty and staff, any information related to the history of the institution or unit and its facilities.

College/Unit Archives: The office, department or division designated as having responsibility for collecting and preserving records of historical, legal, fiscal, and administrative value. It provides permanent retention of official records of the institution, its officers, and component parts; maps and architectural records; audiovisual materials; publications; and other materials documenting the institution's history.

"On Site"--Records with a demonstrated on-going legal, fiscal or administrative need to a particular area of the institution or unit shall be maintained permanently at that location which may include maintenance in an electronic system retrievable at that location.

"Other"--Other specific directions for disposition may be provided in the Schedule.

Unless a different "Official Repository" is set forth below, all records should be maintained in the office where they are generated.

Section 7. Records Retention Schedule

Accounting & Financial Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Accounts Payable/Invoice Records	Administration & Finance or Office Where Generated	FY + 5 years	Regular
Bad Debt Documentation: Overdue accounts, such as library fines parking tickets, loans, payment for service rendered	Controller's Office or Business Center	FY + 4 years after payment or write-off	Regular
Bank Reconciliations and Related Work paper	Administration & Finance	FY + 7 years	Regular
Bids, Accepted: For purchases	Purchasing	FY + 7 years	Regular
Bids, Rejected: For purchases	Purchasing	FY + 3 years	Regular
Bonds/Securities/Certificates of Participation Files	Administration & Finance	FY final redemption + 4 years	Archives
Cash Register Tapes/Cash & Credit Card Receipt Documentation	Administration & Finance; Controller's Office or Office Where Generated	FY + 4 years	Regular
Chart of Accounts: An institutional list of the accounts and their identification coding	Administration & Finance; Controller's Office	FY + 4 years	Regular
Cost Accounting Documentation: Records analyzing the cost of producing certain items or performing certain tasks	Office Where Generated and/or Controller's Office	FY + 3 years	Regular
Delivery Slips: Documents sent with purchased goods indicating item(s) shipped	Office Where Generated or Controller's Office	FY + 5 years	Regular

Accounting & Financial Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Endowment Fund Reports, Annual: Report of funds received and expended by endowment accounts. May be in form of report to donors	Foundation or System Office Where Reports Generated	FY + 7 years	Archives
Endowment Fund Reports, Periodic: Periodic report of funds collected or expended by endowment accounts	Foundation or System Office Where Generated	FY + 7 years	Secure
Financial Reports/Work Papers, Annual: Consolidated year-end report of financial documentation showing assets and liabilities, broken down by major funding areas, such as academic and student services areas	Administration & Finance	FY + 3 years	Archives
Financial Reports, Quarterly/Interim: A report of institutional assets, liabilities, expenditures, income and equities. A periodic report, not the year-end report	Administration & Finance	FY + 1 year	Regular
Fraud Files	Office Where Generated	FY + 3 years	Secure
Fraudulent Checks	Office Where Received or Where Investigated	FY received + 3 years	Secure
Inventory Control Record	Office Where Generated	FY + 7 years	Regular
Inventory Control Record	Office Where Generated	FY + 7 years	Regular
Journals: Documentation of institutional cash transactions, petty cash transactions/replenishments, including disbursements and receipts	Institution Controller's Office	FY + 5 years	Regular
Records used to transfer charges between accounts and for summarizing account information			
Purchase Orders (POs)	Controller's Office	FY + 7 years	Regular
Purchasing Card (PCard) & Travel Card/Travel Claim Documentation: Including statements from bank regarding PCard and Travel Card	Controller's Office	FY + 5 years	Regular

Accounting & Financial Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
use, transaction forms, and other supporting documentation			
Registers-Bond: Listing of bonds sold, usually for building projects, showing purchaser, date redeemed, interest due, etc.	Administration & Finance	FY of final redemption + 4 years	Regular
Registers-Check: Book or original entry for all cash disbursements paid by check	Administration & Finance; Controller's Office	FY + 5 years	Regular
Requisitions	Business Center	FY + 4 years	Regular
Student Account Records	Office Where Generated	FY last date of enrollment + 7 years	Secure
Surplus Property Records	Office Where Generated	FY + 3 years	Regular
Timekeeping Documentation: Includes documentation of staff, work-study students, and non-work-study students	Office Where Generated or Human Resources	FY + 3 years	Regular
Trusts/Bequests	Foundation; Fundraising Office	Permanent	On Site or Archives
Warranties (e.g., products, construction, etc.)	Administration & Finance	Life of product + 7 FY	Regular

Administrative Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Accreditation Records	Office of the President	FY + 10 years	Archives
Advertising	Office Where Generated	FY + 3 years	Regular
Articles of Incorporation/ Bylaws and Records of NSHE or Related Entities: Including foundations, research corporations, etc.	Office Where Generated	Permanent	On Site or Archives
Calendars of Events	Office Where Generated	Until superseded	Archival Review; Regular
Camp or Activity Involving Children: Registration and other documents	Office Where Generated	FY + 25 years, or age of majority plus 7 FY	Secure

Accounting & Financial Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
President's Files	President's Office	FY + 4 years	Archival Review; Secure
Cabinet/Committees Records	Office Where Generated	FY + 5 years	Archival Review; Secure
	Office Where Generated	FY + 25 years, or age of majority plus 7 FY	Secure
Drug-Free Schools and Communities Act Records	Office Where Generated	FY + 4 years	Archival Review; Secure
Environmental Monitoring Records	Environmental, Health & Safety (EH&S)	FY + 5 years	Regular
General Files: Consists of correspondence, memoranda, reports, email and publications of other departments of Miles and external agencies	Office Where Generated	FY + 5 years	Secure
General Files-Upper Administration: Consists of files of vice presidents, provosts, deans, directors, chairs and upper-level administrators including email	Office Where Generated	FY + 5 years	Archival Review; Secure
Incident/Accident Reports	Office Where Generated; Risk Management	FY + 7 years, or age of majority plus 7 FY	Archives
Logs: Includes but not limited to mail logs, telephone logs, lists and schedules used to monitor work functions	Office Where Generated	FY + 1 year	Regular
Mailing Lists	Office Where Generated	Until superseded	Secure
Motor Vehicle Records: Including copies of title, maintenance and usage	Administration & Finance	FY + 7 years	Regular
Organizational Charts	Office Where Generated	FY + 5 years	Archives

Accounting & Financial Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Public Records Request Files	Public Records Officer or Counsel	FY + 3 years	Secure
Reports-General	Office Where Generated	FY + 5 years	Archival Review; Secure
Strategic Plans	President; Provost; Office Where Generated	FY + 1 year	Archives
Surplus Property Records	Business Office	FY + 3 years	Regular
College or Unit Policy: Policies provide specific direction for operations, administration, or programs. Policies are applicable institution- or unit-wide Policies enhance the college or unit's mission and operational efficiency, mandate action or constraints, and must be consistent with relevant statues, regulations, bylaws, or rules	Board of Trustee; President or Office Where Generated	Until superseded	Archives or On Site
Telephone Records	Office Where Generated	FY + 1 year	Regular
Mandatory Training Course Documentation: Memoranda, flyers, catalogues, registration forms, rosters and other records relating to training courses	Office Where Generated	FY + 7 years	Regular

Affirmative Action/Equal Opportunity

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Affirmative Action Programs Pursuant to Qualified Disabled Veterans and Vietnam Veterans Act	EEOC Office; Office Where Generated	FY + 2 years	Regular
Americans with Disabilities (ADA) Compliance Records	EEOC Office	FY + 7 years	Secure
Americans with Disabilities (ADA) Requests for	EEOC Office	FY + 7 years	Secure

Affirmative Action/Equal Opportunity

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Accommodation, Responses and Related Documentation			
Complaints of Prohibited Discrimination, Protected Status (including Sexual Harassment)	Student Conduct Office; EEOC Office; Title IX Coordinator; Title VII Office; Human Resources	FY + 7 years	Secure
Investigated Complaints of Discrimination that are Dismissed or that Result in Finding of Merit Maintained	Student Conduct Office; EEOC Office; Title IX Coordinator; Title VII Office; Human Resources	100 years	On Site
Title VII, ADA, and/or GINA Required Reports (Higher Education Staff Information Report EEO-6)	Office Where Generated	FY + 3 years	Secure

Athletics

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Academic Progress Rate	Athletic Department	NCAA Requirements	Secure
Athletic Scholarships (non-Title)	Athletic Department	FY + 5 years	Secure
Coach and Assistant Coach Files	Athletic Department	FY + 5 years	Secure
Conference Waivers	Athletic Department	NCAA Requirements	Secure
Eligibility Certification	Athletic Department	NCAA Requirements	Secure
Equity in Athletics Disclosure Act (EADA) Disclosures	Athletic Department	Federal Requirements	Regular
Financial Aid Documents	Athletic Department	NCAA Requirements	Secure
Fitness Facility Use Records & Waiver Forms	Office Where Generated	FY + 3 years	Secure
Graduation Success Report	Athletic Department	NCAA Requirements	Secure
NCAA Squad List	Athletic Department	NCAA Requirements	Secure
NCAA Violations	Athletic Department	NCAA Requirements	Secure

Affirmative Action/Equal Opportunity

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
NCAA Waivers	Athletic Department	NCAA Requirements	Secure
Player Recruiting Records	Athletic Department	NCAA Requirements	Secure
Recruiting Rules & Regulations	Athletic Department	FY + 7 years	Regular
Rules & Regulations	Athletic Department	FY + 7 years	Regular
Scouting Reports	Athletic Department	FY + 1 year	Secure
Sport Schedules	Athletic Department	FY + 1 year	Regular
Sports Program (for events)	Athletic Department	FY + 1 year	Regular
Statement of Revenues and Expenses Filed with NCAA Annually	Athletic Department	NCAA Requirements	Regular
Student Affidavits	Athletic Department	FY + 5 years	Secure

Audit

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Audit Reports Files-External	Office Where Generated	FY + 7 years	Secure
Audit Reports Files-Internal	Office Where Generated	FY +7 years	Secure
Working Papers	Office Where Generated	FY + 7 years	Secure

Board of Regents

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Agendas & Supporting Material for Board or Committee Meetings	Board of Regents Office	Permanent	Archives or On Site
Audiotape	Board of Regents Office	FY + 5 years; Permanent if no minutes are generated	Secure
General Files: Including correspondence, memoranda; procedures, announcements, etc.	Board of Regents Office	FY + 3 years	Archival Review; Secure
Minutes of Board or Committee Meetings	Board of Regents Office	Permanent	Archives or On Site

Board of Regents

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Reports: Generated by or submitted to the Board/Board Office	Board of Trustee Office or Office Where Generated	FY + 3 years	Archival Review; Secure

Budget Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Work Papers: Legislative approved budget, summaries, work papers, work programs, revisions, supportive documentation	Administration & Business	FY + 6 years	Regular

Contracts

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Service, Independent Contracts, MOUs, Cooperative Agreements & Related Documentation	Office Where Generated; Business Office	FY of termination + 7 years	Regular

Environmental, Health and Safety

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Asbestos Sampling/Evaluation Records	Risk Management; Environmental Health & Safety (EH&S)	FY + 6 years	Secure
Asbestos Training Records: Employee Training	Risk Management; Environmental Health & Safety (EH&S)	FY last date of employment + 1 year	Secure
Audiograms & Threshold Inspections	Risk Management; Environmental Health & Safety (EH&S)	FY + 5 years	Regular
Exposure Control Files	Environmental Health & Safety (EH&S)	FY + 3 years	Regular
Fire & Safety Inspections: Includes but not limited to elevators, escalators, boilers,	Office Where Generated	FY + 5 years	Regular

Environmental, Health and Safety

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
pressure vessels and related equipment			
First Aid Reports	Office Where Generated	FY + 3 years	Secure
Hazmat: CAPP Chemical Accident Prevention Program Files	Environmental Health & Safety (EH&S)	FY + 5 years	Secure
Hazmat: Generators of Hazardous Waste Records	Environmental Health & Safety (EH&S)	FY + 5 years	Secure
Hazmat: Hazard Communication Program	Environmental Health & Safety (EH&S)	FY + 4 years	Regular
Hazmat: Hazardous Material Safety File	Environmental Health & Safety (EH&S)	FY + 30 years	Regular
Hazmat: Registration Files of Generators of Hazardous Waste	Environmental Health & Safety (EH&S)	FY + 6 years	Regular
Laboratory Inspection Reports: Periodic inspections of laboratories	Environmental Health & Safety (EH&S)	FY + 3 years	Regular
Occupational Health and Safety Inspections	Risk Management; Environmental Health & Safety (EH&S)	FY + 5 years	Regular
OSHA Citation Postings	Where Posted	3 days	Regular
OSHA Employee Medical Records	Human Resources-- Separate Confidential File	FY + 30 years	Secure
OSHA Exposure Records	Risk Management; Environmental Health & Safety (EH&S)	FY + 30 years	Secure
OSHA Illness & Injury Files	Environmental Health & Safety (EH&S)	FY + 6 years	Secure
OSHA Inspection & Violation Files	Environmental Health & Safety (EH&S)	FY + 6 years	Regular

Environmental, Health and Safety

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
OSHA Notices Postings (not citations)	Where posted	Until superseded	Regular
OSHA Personnel Protective Equipment	Environmental Health & Safety (EH&S)	FY + 4 years	Regular
OSHA Required Logs & Summaries of Occupational Injuries and Illnesses	Risk Management; Environmental Health & Safety (EH&S)	FY + 6 years	Secure
Radiation Safety Records	Office Where Generated	State and Federal Requirements, whichever is longer	Secure
Respirator Fit Test Records	Risk Management; Environmental Health & Safety (EH&S)	FY + 1 year	Regular
Safety Program Files	Environmental Health & Safety (EH&S)	FY + 4 years	Regular
Safety Training Course Documentation: Rosters and Other Records Relating to Training Course	Risk Management or Environmental Health & Safety (EH&S)	FY + 3 years	Regular

Facilities or Student Housing Maintenance

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Boiler Inspection Report Files	Facilities or Compliance Manager	FY + 5 years	Regular
Building Security & Protection System Maintenance Records (e.g., key authorization, fire alarm inspections)	Facilities	FY + 7 years	Secure
Capital Improvement Bid & Contract Documentation	Purchasing	FY termination of contract + 7 years	Regular
Capital Improvement Projects Files: Including blue prints, plans, drawings, etc.	Planning & Construction or Facilities	Life of Building	Archival Review; Regular

Environmental, Health and Safety

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
General Files: Administrative documents, correspondence, reports, time sheets	Facilities	FY + 5 years	Regular
Pending & Completed Work Orders; Maintenance Services Records	Facilities	FY + 2 years	Regular
Safety Program Files	Facilities or Risk Management	FY + 5 years	Regular
Training Documentation	Risk Management	FY + 7 years	Secure

Faculty

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Faculty Senate Records	Office Where Generated	FY + 5 years	Archival Review; Secure

Homeland Security

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Restricted Document Log	System or General Counsel	FY + 4 years	Secure

Human Resources Records (Professional, Classified and Student)

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Alcohol & Drug Testing Records	Human Resources-- (maintained separately from personnel records)	FY last date of employment + 7 years	Secure
Applications for Employment: Hired	Human Resources	FY last date of employment + 7 years	Secure
Applications for Employment: Non-Hired	Human Resources	FY + 1 year	Secure
Background Checks & All Related Documents: Hired Employee	Human Resources	FY last date of employment + 7 years	Secure
Background Checks & All Related Documents: Non-Hired	Human Resources	FY + 1 year	Secure
Benefits Documentation	Human Resources	FY last date of employment + 7 years	Secure

Human Resources Records (Professional, Classified and Student)

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Board of Regents Decisions: Regarding personnel and designated executives	Secretary of the Board of Regents	Permanent	Archives or On Site
Paycheck & Direct Deposit Distribution List & Forms	Business Office	FY + 3 years	Secure
Disciplinary Records: Classified	Human Resources	FY last date of employment + 7 years	Secure
Disciplinary Records: Faculty	Human Resources	FY last date of employment + 7 years	Secure
Disciplinary Records: Faculty-Dismissed Charges	President	1 year (Code, Ch. 6, Sec. 6.15)	Secure or Release to person charged if requested
Equal Pay Act Records: (e.g., any records that describe or explain the basis for payment of any wage differential to employees of the opposite sex in the same institution)	Human Resources; Office Where Generated	FY + 7 years	Secure
Evaluation of Work Performance: Faculty and Staff (See also Evaluations, Class/Course)	Human Resources; Office Where Generated	FY last date of employment + 7 years	Secure
Faculty Employment Documents: Appointments, tenure, promotions, evaluations	Provost; Academic Affairs; Human Resources	FY last date of employment + 7 years	Secure
Family Medical Leave Act (FMLA)	Human Resources-- (maintained separately from other personnel records)	FY last date of employment + 7 years	Secure
Fitness for Duty	Human Resources-- (maintained separately from personnel files)	FY last date of employment + 7 years	Secure
Grievances-Classified	Human Resources	FY last date of employment + 7 years	Secure
Grievances-Faculty	Human Resources; Faculty Senate	FY last date of employment + 7 years	Secure

Human Resources Records (Professional, Classified and Student)

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Immigration & Naturalization Records, I-9 Forms	Human Resources; Office Where Generated; Office of International Students & Scholars (OISS)	FY of date of hire plus 3 years, or FY of termination plus 1 year, whichever is later	Secure
Immigration Reform & Control Act Records	Human Resources	FY + 7 years	Secure
Leave Records	Human Resources; Office Where Generated	FY last date of employment + 7 years	Secure
Letters, Congratulatory	Human Resources	FY last date of employment + 7 years	Regular
Miles Ethics Acknowledgment Statement	Human Resources; Board of Regents	FY last date of employment + 7 years	Regular
Oaths	Human Resources	FY last date of employment + 7 years	Secure
Personnel, Payroll & Retirement Information	Human Resources; Payroll; Office Where Generated or Maintained	FY last date of employment + 7 years	Secure
Personnel Records, Student: Includes documentation of work-study and non-work study students	Human Resources	FY last date of employment + 7 years	Secure
Personnel Requisition for Classified Staff Department: Request placed whenever a position within the department becomes vacant	Human Resources	FY + 3 years	Regular
Position Description	Human Resources	Active + 3 years	Regular
Recruitment Records	Human Resources	FY + 3 years	Secure
Self-Disclosure of Criminal Convictions Documentation	Human Resources	FY last date of employment + 7 years	Secure
Unemployment Compensation Records	Human Resources	FY + 7 years	Secure
Visa Related Documents	Human Resources	FY last date of employment + 7 years	Secure
Volunteer Records	Human Resources	FY last date of volunteering + 7 years	Secure

Human Resources Records (Professional, Classified and Student)

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Worker's Compensation Records: Work related injuries and illnesses	Human Resources & Risk Management	FY last date of employment + 7 years	Secure

Information Technology Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Application Development Files: Records created and used in the development, redesign, or modification of an automated system of application	System Computing Services or Institution IT Office	FY + 3 years	Secure
Assets Inventory	System Computing Services or Institution IT Office	FY + 7 years	Regular
Conversion/Migration Plans: Records that deal with the replacement of equipment or computer operating systems due to hardware/software obsolescence or maintenance	System Computing Services or Institution IT Office	FY + 3 years	Secure
Data Documentation: Records necessary to access, retrieve, manipulate and interpret data in an automated system	System Computing Services or Institution IT Office	FY + 3 years	Secure
Disaster Preparedness & Recovery Plans: Records related to reestablishment of data processing services in case of a disaster	System Computing Services or Institution IT Office	Until superseded	Secure
Employee Access Control & Security Awareness Files	System Computing Services or Institution IT Office	FY + 3 years	Secure
Equipment Support Files: Information on data processing equipment, software, and other products and their vendors. Record of support services provided for specific data processing equipment, including site visit reports, service reports, service histories, and correspondence	System Computing Services or Institution IT Office	FY + 3 years	Regular
Hardware Documentation: Records documenting the use, operational, and	System Computing Services or	FY + 3 years	Secure

Human Resources Records (Professional, Classified and Student)

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
maintenance of an agency's data processing equipment	Institution IT Office		
Help Desk Logs and Reports	System Computing Services or Institution IT Office	FY + 1 year	Regular
Policies for Data Processing: Including access, security, systems development, data retention and disposition, and data ownership. Records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation	System Computing Services or Institution IT Office	Until superseded + 7 FY	Secure
Risk Analysis	System Computing Services or Institution IT Office	FY + 7 years	Secure
Security Evaluations & Reviews	System Computing Services or Institution IT Office	FY + 3 years	Secure
Source Code; Information System Specifications	System Computing Services or Institution IT Office	FY + 3 years	Secure
Systems Log Files	System Computing Services or Institution IT Office	90 days	Secure
Usage Files: Records created to monitor computer system and network usage including but not limited to log-in files, system usage files, data entry logs, and records of individual computer program usage	System Computing Services or Institution IT Office	90 days	Secure
Users Access Records: Records created to control individual access to a system for administrative and security purposes	System Computing Services or Institution IT Office	FY + 7 years	Secure

Insurance

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Certificates of Insurance, Indemnification Agreements, Hold-Harmless Agreements, Contracts (See also "Minors")	System Risk Manager, System Contract Coordinator or Office Where Generated	FY + 7 years or if claim If claim is presented, turn over to Office of Risk Management and Insurance	Regular
Potential Claims Records	Risk Management; Office Where Generated	FY + 3 years	Regular
Property Insurance Inspection Reports	Risk Management	FY + 5 years	Regular
Property Losses File	Risk Management	FY + 3 years	Regular

IRS Tax Documentation

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
IRS Tax Documentation: Includes such documents as 1099s; records of state or federal taxes	Administration & Finance; Payroll	CY + 4 years	Secure

Legal

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Legal Files: Includes all litigation, research, correspondence, etc.	General or System Counsel	FY + 7 years; Counsel may direct longer retention period	Secure
Legal Opinions	General or System Counsel	Permanent	Archives or On Site
Medical Professional Liability Claims/Cases/Judgments/Settlements	NSHE Risk Management/ UNSOM General Counsel	Permanent	Archives or On Site
Subpoenas	General or System Counsel	FY + 1 year	Regular
Trademark Registrations/ Patents: Including all related correspondence and documents	Tech Transfer, Office Where Generated or Other Designated Office	FY + 10 years	Archival Review; Regular

Library

Library

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Circulation, Patron ID, Reference Requests	Office Where Generated	FY + 3 years	Secure
Interlibrary Borrowed File: For inventory purposes (record of material's physical location, not of the user)	Office Where Generated	FY + 3 years	Regular
Interlibrary Loan File: For inventory purposes (record of material's physical location, not of the user)	Office Where Generated	Until administrative need is satisfied	Regular
Miscellaneous Administrative: Including documents, correspondence, inventory lists, etc.	Office Where Generated	FY + 3 years	Regular
Records of Overdue Materials	Office Where Generated	FY + 3 years	Secure
Videotape Production Records, Collections	Office Where Generated	FY + 3 years	Archival Review; Regular

Medical

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Business Associate Agreements	Office Where Generated	FY + 7 years	Regular
Clinical Patient Billing Records	Office Where Generated or Institution Controller	FY + 7 years	Secure
Clinical Patient Medical Records	Office Where Generated	Minors to age 18 + 7 years; All others - FY + 7 years	Secure
Controlled Drug Administrative, Audit & Dispensing Records	Office Where Generated	FY + 5 years	Secure
Daily Drug Dispensing Records	Office Where Generated	FY + 5 years	Secure
HIPAA-Related Forms, Compliance & Audit Documents	Office Where Generated	FY + 7 years	Secure
Prescription Records	Office Where Generated	FY + 5 years	Secure

Minors

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Releases/Waivers/Hold Harmless/Indemnification Documents for Activities Involving Minors (e.g. camps)	Office Where Generated	FY + 25 years or age of majority plus 7 FY	Secure

Open Meeting Law Records (See Board of Regents)

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Audiotape	Foundation; Student Government	FY + 5 years; or permanent if no minutes generated	Secure
Minutes, Notices, Agenda, Support Materials, etc.	Foundation; Student Government	Permanent	Archival Review; Regular

Police Services

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Background Checks	Police Department	FY + 7 years	Secure
Citations:			
Criminal citations	Police Department	FY + 3 years	Secure
Parking citations	Parking Enforcement	FY + 2 years	Secure
Traffic citations	Police Department	FY + 2 years	Secure
Crime/Incident Reports Includes all incidents involving officers such as traffic, burglary, assault, etc. and supporting documentation, arrest records, lab reports, victim information	Police Department	FY + 5 years	Secure
Crime Statistics for Clery Act Reports, etc.	Police Department	FY of public disclosure/publishing + 7 years	Secure
Department Reports	Police Department	Permanent	On Site
Dispatch Unit Transmission Log	Police Department	FY + 3 years	Secure
Dispatch Unit Transmission Recordings	Police Department	90 days	Secure
Equipment: Issued to personnel	Police Department	Life of the equipment	Secure

Police Services

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Evidence & Seized Property	Police Department	Same as applicable incident/crime report or case	Secure
Evidence Destruction Records	Police Department	Same as applicable incident/crime report or case	Secure
General Records: Correspondence, community service programs, miscellaneous records	Police Department	FY + 4 years	Secure
In-Car Recordings	Police Department	90 days	Secure
Intelligence Research, Reports & Information	Police Department	5 years	Secure
Internal Affairs	Police Department	7 years	Secure
Interstate Identification Index	Police Department	FY + 3 years	Secure
Investigation Files not resulting in arrest (all others are part of the applicable incident/crime report or case file)	Police Department	Statute of limitations	Secure
K9 Records	Police Department	FY + 3 years	Secure
POST Certification Records	Police Department	FY last date of employment + 7 years	Secure
Radio & Car Logs	Police Department	FY + 1 year	Secure
Recorded Communications	Police Department	Until superseded	Secure
Security Surveillance Tapes	Police Department	Minimum retention 7 days (unless needed or subpoenaed as evidence)	Secure
Sex Offender Registration Records	Police Department	Life of individual	Secure
Specific Crime Records: DUI and Domestic Violence	Police Department	FY close of case + 7 years	Secure
Homicides and sex crimes	Police Department	FY close of case + 65 years	Secure

Police Services

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Misdemeanors	Police Department	FY close of case + 7 years	Secure
Other Felonies	Police Department	FY close of case + 25 years	Secure
Unsolved Cases	Police Department	Permanent	On Site
Training Records	Police Department	FY last date of employment + 7 years	Secure
Warrants/Wanted Files	Police Department	FY + 3 years	Regular
Weapons Discharge Records	Police Department	FY + 3 years	Secure
Weapons Inventory Records	Police Department	FY + 3 years	Secure
Weapons Qualification Records	Police Department	FY + 3 years	Secure

Public Relations Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Public Service Announcement, News Releases, Information Flyers, Brochures, Newsletters, Other Publications, etc.	Government Relations or Public Relations	FY + 5 years	Archival Review; Regular

Publication, Statistical Data/Documents and Reports

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Reports to Board of Regents	Board of Regents or Chancellor's Office	Permanent	Archives or On Site
State or Federal Reports	Office Where Generated	Permanent	Archives or On Site

Real Estate Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Copies of Deeds, Easements: Including other documents related to real property transactions	System, Institution Facilities or Real Estate Office	Permanent	Archives or On Site
Leases	System, Institution Facilities or Real Estate Office	FY of expiration date + 7 years	Regular

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Animal Research & Veterinary Records	Office Where Generated	FY + 3 years	Secure
Export Control Export controls-related records, including: contracts, license and license applications; invitations to bid; shipping documents; financial and accounting records; license exception records; notifications from regulatory agencies; and all notes, memoranda and correspondence related to export transactions	Office Where Generated	Required federal retention period - for EAR, ITAR, OFAC records + 5 years; longer retention period may apply only if requested by government agency	Secure
Grants & Agreements: Administration of Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non- Profit Organizations	Office Where Generated or Sponsored Projects Office	FY submission of final expenditure report + 7 years, unless otherwise provided in terms of grant or contract	Secure
Grants & Agreements: Uniform and Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments	Office Where Generated or Sponsored Projects Office	FY of starting date + 3 years	Secure
Institution or System Contracts: Subject to specific state, federal or contract requirements	System Office or Office Where Generated	Required state, federal or contract retention period	Destroy in accordance with applicable state, federal or contract requirements or Secure
Institutional Animal Care & Use Records (IACUC)	Office Where Generated	Required state, federal or contract retention period	Destroy in accordance with applicable state, federal or contract requirements or Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Institutional Biosafety Review Records: Review of projects involving recombinant DNA	Office Where Generated	Permanent	On site or Archives
Institutional Review Board for Use of Human Subjects in Research (IRB)	Office Where Generated	Required state, federal or contract retention period	Destroy in accordance with applicable state, federal or contract requirements or Secure
Research Projects- Approved: Files containing proposal, budgets, accounting information, correspondence and reports for grant funded and non-grant funded research	Office Where Generated or Office of Sponsored Projects	FY + 5 years or required state, federal or contract retention period	Destroy in accordance with applicable state, federal or contract requirements or Secure
Research Projects- Rejected: Files containing proposal and correspondence for grant funded and non-grant funded research	Office Where Generated or Office of Sponsored Projects	FY + 1 year	Destroy in accordance with applicable state, federal or contract requirements or Secure
Sponsored Research	Office Where Generated or Office of Sponsored Projects	Follow applicable rules of grant	Destroy in accordance with applicable grant requirements or Secure

Student and Course Records

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Academic Catalogs	Registrar, Admissions and Records or Academic Affairs	Permanent	Secure
Acceptance Letter	Admissions	FY + 1 year	Secure
Administration of Educational Assistance Program Records	Office Where Generated	FY of enrollment + 3 years or FY date of test + 3 years	Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Advanced Placement Results	Admission	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Advising Files: Includes notes about student, possible courses the student would take, and correspondence with student	Office Where Generated	FY + 1 year	Secure
Alien Registration Receipt Card	Office Where Generated	FY graduation + 3 years or FY last term of attendance + 3 years	Regular
Annual Interim Federal Grant Fiscal Reports: Reporting to federal government on expenditures for federal grant programs	Office Where Generated	FY + 7 years	Regular
Application for Admission/Readmission	Admissions	FY + 1 year	Secure
Applications for Graduation	Office Where Generated	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Arrival Departure Record	International Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Athletic Records	Office Where Generated	Athletic Association Rules/NCAA	Secure
Attendance Records/Rosters	Office Where Generated	End of Term	Secure
Audit Authorization	Registrar	FY + 1 year	Secure
Campus Newspaper Records	Office where Generated	Permanent	On Site or Archives
Catalogs	Registrar	Permanent	Archives
Certificate of Eligibility for Visa Status	International Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Change in Major	Academic Affairs	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Change of Course (Drop/Add)	Registrar	FY + 1 year	Secure
Change of Grade Record	Registrar	Permanent	On Site or Archives
Change of Personal Data Record	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Class List/Class Roster	Registrar, Admissions & Records	FY + 1 year	Secure
Class Lists-Original	Registrar, Admissions & Records	Permanent	On Site or Archives
Class Schedule (Student)	Registrar, Admissions & Records	FY end of term + 1 year	Secure
Commencement Programs	Registrar	Permanent	On Site or Archives
Correspondence (Student)	Academic Affairs	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Counseling Records	Office Where Generated or Department Where Generated	FY graduation + 7 years or FY last term of attendance + 7 years	Secure
Course Syllabi	Office Where Generated or Department Where Generated	FY + 3 years	Regular
Coursework: Student tests, examinations, quizzes, papers, projects, etc., leading to a grade and to a posting on the official student record of the registrar	Instructor	End of class + 120 calendar days	Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Credit by Exam	Registrar, Admissions & Records	FY applied to record + 1 year	Secure
Credit by Exam Report/Scores	Registrar	FY + 1 year	Secure
Credit/No Credit Approval (Audit, Pass/Fail)	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Curriculum Change Authorizations	Registrar, Admissions & Records	FY graduation + 3 years or FY last term of attendance + 5 years	Secure
Curriculum Development Documentation: Files documenting approval of new programs and degrees	Provost or Academic Affairs Office	Permanent	Archival Review; Regular
Degree Audit Record	Academic Affairs	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Direct Loan Program	Financial Aid Office	Federal Student Aid (Title IV) Requirements	Secure
Disciplinary Action Record- Expulsion	Office where generated or Student Conduct Office	Permanent	On Site
Disciplinary Action Record- General	Office Where Generated or Student Conduct Office	FY graduation + 7 years or FY last term of attendance + 7 years	Secure
Dual Enrollment Forms (High School)	Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
eLearning: In web-based platforms, exams, assessments, chats, discussions, blog postings, wiki postings, etc.	Provost or Academic Affairs Office	End of class + 120 calendar days	Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
eLearning Course Records: Used for grading	Student Services or Academic Affairs Office	End of class + 120 calendar days	Secure
Employment Authorization (Work Permit)	International Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Enrollment Verification	Registrar	FY + 1 year	Secure
Entrance Exam Results/Scores	Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Evaluations, Class/Course: Summary evaluations of course by students	Provost or Academic Affairs Office	FY + 1 year	Secure
FERPA: Requests, 3rd party authorizations, appeals and hearing decisions	Registrar, Admissions & Records	Permanent	Secure
Financial Aid Records (non-Title IV): Millennium, SSOG, state & institutional aid programs scholarships	Financial Aid Office	FY award year + 3 years	Secure
Foreign Students: Exchange Visitor Program-J-1 Visa; all records	Office of International Students & Scholars (OISS)	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Foreign Students: SEVP Reporting Documents (SEVP-Certified Schools only)	Office of International Students & Scholars (OISS)	FY in which student is no longer pursuing a full course of study (or FY date of denial if reinstatement is denied) + 3 years	Secure
Grade report	Office Where Generated	FY course completion + 5 years	Secure
Grade Change & Appeal Documents	Registrar	FY graduation + 3 years or FY last	Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Graduation Authorization	Registrar	term of attendance + 3 years FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Graduation Lists	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Regular
Higher Education Assistance Programs ("HEA" or "Title IV") Financial Aid Records: Federal Perkins Loan, Federal Work Study (FWS), Federal Supplemental Educational Opportunity Grant (FSEOG), Federal Pell Grant, ACG, National SMART Grant, William D. Ford Federal Loan or TEACH Grant Program	Financial Aid Office	Federal Student Aid (Title IV) Requirements	Secure
Hold or Encumbrance Authorizations	Held by Originating Office	FY graduation + 7 years or FY last term of attendance + 7 years	Secure
Housing/Residence Hall Records	Office Where Generated	FY graduation + 7 years or FY last term of attendance + 7 years	Secure
Immunization Records	Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Instructor Evaluations-by students	Dean or Department Chair's Office	FY + 1 year	Secure
Internship/Service Learning	Office Where Generated	FY graduation + 7 years or FY last term of attendance + 7 years	Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Legal Services	Office Where Generated	FY graduation + 7 years or FY last term of attendance + 7 years	Secure
Letters of Recommendation Regarding Admissions	Admissions & Records or Graduate or Professional School	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Letters of Recommendation Other Purposes	Admissions & Records or Graduate or Professional School	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Military Documents	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Name Change Authorization	Registrar	FY + 1 year	Secure
Nursing Student Loans	Financial Aid Office	US Department of Health & Human Services Requirements	Secure
Organizations: Clubs, other student groups	Office Where Generated	FY + 3 years	Regular
Organizations: Student government-- constitution, bylaws and other records	Office Where Generated	FY + 3 years	Archival Review; Regular
Pass/Fail Record	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Passport Number	International Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Placement Test Results/ Scores	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Probation/Suspension/ Dismissal Records	Academic Affairs	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Readmission Records	Admissions & Records or Graduate or Professional School	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Recruitment Records	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
REG Email Correspondence (All)	Registrar	FY term admitted + 1 year	Secure
Registration Record	Registrar	FY registered term + 1 year	Secure
Releases/Waivers/Hold Harmless/Indemnification Documents for Activities: Non-minor students	Office Where Generated	FY graduation + 7 years or FY last term of attendance + 7 years	Secure
Request for Formal Hearing (FERPA)	Office Where Generated	Permanent	On Site
Requests and Disclosure of Personally Identifiable Information (FERPA)	Office Where Generated	Permanent	On Site
Statement of Educational Costs	International Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Statement of Financial Responsibility	International Admissions	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Student Exams/Papers	Academic Affairs	FY course completion + 1 year	Secure
Student Records-Accepted & Enrolled: Change of course, audit authorization, email,	Registrar; Admissions and Records	FY + 1 year	Secure

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
<p>correspondence, transcript requests, enrollment verification, name change</p> <p>Student Records-Accepted & Enrolled: Grade change appeals, graduation authorization, admission acceptance, advance placement results, dual enrollment forms, entrance exam results/scores, immunization records, recruitment records, waiver of right to access letters of recommendation, external transcripts, change of personal data record, transfer credit or hours accepted, residency documentation, Form I-20 (VISA) for foreign students, overload petitions, application for graduation, and placement documentation, withdrawal Authorizations/Leaves of Absence</p>	<p>Registrar; Admissions and Records</p>	<p>FY graduation + 3 years or FY last term of attendance + 3 years</p>	<p>Secure</p>
<p>Student Records-Accepted & Not Enrolled: Student-specific correspondence relating to admission and enrollment at the institution. Correspondence, recruitment, references and recommendations, entrance exams, Advanced Placement documentation</p>	<p>Student Services or Academic Affairs Office</p>	<p>FY + 18 months</p>	<p>Secure</p>
<p>Student Records-Denied: Letters notifying students of non-acceptance to the institution. Correspondence, recruitment, references and recommendations, entrance exams, and Advanced Placement documentation</p>	<p>Student Services or Academic Affairs Office</p>	<p>FY application term + 1 year</p>	<p>Secure</p>
<p>Student Recruitment Materials-General: Videos, publications, poster, advertisements, etc. used to recruit students to attend the institution</p>	<p>Office Where Generated</p>	<p>FY + 5 years</p>	<p>Archival Review; Regular</p>

Research, Grants and Sponsored Projects

TYPE OF RECORD	OFFICIAL REPOSITORY	RETENTION PERIOD	DISPOSITION
Student Registration-Related	Registrar, Admissions & Records	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Student Request for Non-Disclosure of Directory Information	Student Services	Permanent	On Site
Student Waivers for Rights to Access to Letters of Recommendation	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Student Written Consent for Records Disclosure	Student Services	Permanent	On Site
Transcript Request (Student)	Registrar	FY + 1 year	Secure
Transcripts (High School and College)	Registrar	Permanent	On site
Transfer Credit Evaluation	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Veterans Administration Certifications/Benefits	Registrar, Admissions & Records	FY graduation + 5 years or FY last term of attendance + 5 years	Secure
Visa Related Documents	International Student Office	FY graduation + 5 years or FY last term of attendance + 5 years	Secure
Vocational Rehabilitation & Education Records	Office Where Generated	FY graduation + 3 years or FY last term of attendance + 3 years	Secure
Withdrawal Authorization	Registrar	FY graduation + 3 years or FY last term of attendance + 3 years	Secure

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