

## RECORDS RETENTION SUMMARY

TOPIC & REFERENCE	RECORD COPY	DESCRIPTION	RETENTION	RESPONSIBLE PARTY
Administrative Reports (A2)	Institutional Archives; Creating Units	This series documents the annual activity of the institution and its subdivisions. This disposition includes reports prepared for the university by the president, vice-president, and deans of the institution. Final annual reports may be printed and bound or they may be less formal unpublished documents prepared for limited distribution. Reports may include but are not limited to periodic statistical reports; summarized statistical reports; copies of reports from other units; other working papers; final annual reports; and related documentation and correspondence.	Permanent for final annual reports and periodic and summary statistical reports not reflected in the final annual report; until superseded or obsolete for all other records	Dean
Advisory Board Records (A4)	Institutional Archives; Colleges & Units	This series documents the activities of boards and councils, which function in an advisory capacity. Boards and councils may have as their charge highly specific or broad areas of concern and include members from outside the institution. This series may include but is not limited to meeting minutes; agendas; reports; notes; working papers; audio recordings; transcriptions; and related documentation and correspondence.	Permanent for minutes, agendas, reports, and correspondence; 3 years for all other records	Dean
Association and Organization Advisory Boards (A8)	Colleges & Units	This series documents the relationship and participation of institution units in professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence. This series does not include individual faculty or staff membership information.	3 years	Dean; Departments
Awards Records (A10)	Institutional Archives; Administering Units	This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. The series may include but is not limited to: applications; nomination letters; eligibility terms and selection criteria; recommendations; transcripts; letters of award notification or denial; letters accepting or declining awards; summary lists of winners; biographies; demonstration of need documentation; press releases; award history and information on funding sources; and related documentation and correspondence.	Permanent for eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases; 1 year for all other records	Dean; Departments
Committee Records (A11)	Institutional Archives; Institutional executive offices; Faculty Senate, Colleges & units	This series documents the activities of standing and ad hoc committees and councils made up of members from a variety of units. The committees are charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, performing an advisory function, or reviewing petitions, appeals, and deviations from policy. Types of committees include administrative committees (those appointed by an administrator) and faculty senate committees (those created by the faculty senate's executive committee). They may function as steering committees, activities committees, standards committees, planning committees, academic committees, awards committees, councils, etc. Committees may be chaired by the director of a specific unit or rotate to different chairs on a regular basis. This series may include but is not limited to: agendas; meeting minutes; reports; notes; working papers; and related documentation and correspondence.	Permanent for agendas, minutes, reports, and correspondence; 3 years for all other records	Dean; Departments
Administrative Correspondence (A13)	Units	Series documents communications received or sent which contain significant information about an institution's programs. Records include letters sent and received, memoranda, notes, enclosures, attachments and electronic messages.	5 years	Dean; Departments
Transitory	Units	Series documents communications received or sent which <b>do not</b> contain	Until Read	Dean; Departments

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Correspondence (A15)		significant information about an institution's programs (Correspondence, Administrative), fiscal status (Correspondence, Fiscal), or routine agency operations (Correspondence, General). Records include, but are not limited to, advertising circulars, drafts and worksheets, desk notes, memoranda, electronic messages, and other records of a preliminary or informational nature.		
General (Routine ) Correspondence (A16)	Units	Series documents communications received or sent which do not contain significant information about an institution's programs. Records include: letters sent and received; memoranda; notes; transmittals; acknowledgments; community affair notices; charity fund drive records; routine requests for information or publications; enclosures, attachments and electronic messages.	5 years	Dean; Departments
Crisis or Disaster Records (A17)	Units	This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence. (ex. IHDD flood).	5 years	Dean; Departments
Daily Logs (A19)	Units	This series documents the day-to-day activities of the office. This series may include but is not limited to: staff member's daily schedules; daily work logs; appointment information; and desk calendars.	3 years	Dean; Departments, All other units
Election Records (A21)	Organizations, Units	This series documents elections held by various faculty and staff organizations. This series may include but is not limited to: ballots; tabulations; and related documentation.	Until results are verified.	Units; Student Clubs
Gifts Records (A23)	Institutional Archives; Administering Units	This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series may include but is not limited to award guidelines; letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.	Permanent for letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence; 7 years for all other records.	Institutional Archives; Administering units
Grievance Records (A24)	Affirmative Action, Academic Affairs, Human Resources, Legal Advisor, Ombudsman, and Units	This series documents grievance brought forward by faculty and staffs against the institution and which are resolved without litigation. (Records of grievances that are litigated become part of the legal case file.) Grievances may pertain to personnel policies and procedures; articles contained in the collective bargaining agreement (classified staff only); departmental issues; affirmative action and equal opportunity issues; and promotion and tenure (faculty) issues. Records may include but are not limited to notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; appeals documentation; and related documentation and correspondence. Information may be exempt from public disclosure.	3 years after resolution	Dean; Departments

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Institutional Speeches and Statements (A26)	Institutional Archives; Institutional executive offices, Colleges, Units	This series documents speeches and statements written and delivered by institutional faculty and staff in connection with institutional business. This series may include but is not limited to: final copies; audio or video recordings of the speech presentation; drafts; source materials; and working papers.	2 years for drafts, source material, and working papers; Permanent for all other records	Dean; Departments; Other Units
Institutional Cooperation and Relations Records (A27)	Institutional Archives; Colleges & units	This series documents the coordination and interaction between units for the cooperative administration of programs within the institution. This series is used for monitoring, planning, and coordinating research, instructional, or administrative programs of common concern to two or more institutional units. This series may include but is not limited to: copies of budget reports; activity reports; proposals; planning documents; agreements and memoranda of understanding; publicity and newspaper clippings; policy statements; working papers; and related documentation and correspondence. (EX: Family & Consumer Sciences/IBR)	Permanent for proposals, planning documents, activity reports, policy statements, publicity; 7 years after expiration for all other records	Dean; Departments
Lectures and Lecture Series Records	Institutional Archives; Sponsoring unit	This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to: lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; and related documentation and correspondence.	Permanent for lecture committee notes, memoranda and planning materials, programs and announcements, news releases, recordings, and transcripts, and photographs; 7 years for all other records	Departments
Policies and Procedures Records (A33)	Creating unit, Institutional Archives	This series provides a record of internal development and documents guidelines for consistency and continuity in the operation of the unit. This series may include but is not limited to: mission and policy statements; planning documents outlining responsibilities and goals; organizational charts; publications preparation guidelines; emergency procedures; job descriptions; guides for office procedures which often include completed samples of all forms; handbooks; desk manuals; and related documentation and correspondence.	3 years, 7 years after expiration transfer to University Archives when administrative value ends	Dean; Departments

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Professional Membership Records	Units	This series documents institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to: applications for membership; certification of membership; documentation of activities; and related correspondence.	4 years	Dean; Departments; Business Affairs Office
Signature Authorizations (A36)	Units	This series documents the certification of the institution's employees who are authorized to sign fiscal and contractual documents. These documents serve as an aid for management control over expenditures. This series may include but is not limited to: authorization date; name; sample signature; position data; remarks; and conditions.	7 years after authorization expires.	Dean; Departments; Business Affairs Office
Special Activity Records (A37)	Institutional Archives; Creating units	This series documents the activities of an office which are performed in addition to its regular or main functions. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence.	Permanent for final reports and study designs; 3 years for all other records	Dean; Departments; all other units
Meeting Records (A39)	Institutional Archives; Units	This series documents the meetings of the faculty and/or staff of a college, department, or office that sets policy and procedures for the unit. Participants at meetings may be composed exclusively of a mixture of faculty, staff, administrators, and managers; specialized and task oriented sub-committees composed of unit personnel are also documented as part of this record series. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs. This series may include but is not limited to: official meeting notes/minutes; reports; agendas; and related documentation and correspondence.	Permanent for official meeting notes/minutes, agendas, and reports; 5 years for all other records, transfer to University Archives when administrative value ends	Dean; Departments; all other units

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Vehicle Use Authorization and Request Records (A40)	Units	This series documents permission for employees to use their private automobiles for official use and authorization of non-employees and student's to use state-owned cars. Records may include but are not limited to: private vehicle safety certification forms; private vehicle certificate lists; driver authorizations for students and non-employees; and related documentation and correspondence.	5 years after superseded or obsolete	Dean; Departments; all other units
Visiting Scholar Program Records (A41)	Units	This series documents a program which allows one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include but is not limited to: advertisements; applicant data; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; scholars_ vitae; scholars_ activities documentation including audio recordings; and related documentation and correspondence.	7 years	Departments
Equipment Maintenance Records (A45)	Units	Series documents the operation, maintenance, service and repair of institutional equipment. Records may include: purchase orders; lease agreements; warranties; instructions and operating manuals; vendor statements; service contracts; charge call bills; fax activity reports; service logs; invoices for equipment repair; purchase request forms; and memoranda.	5 years after disposition of equipment	Departments; Business Affairs; Office of Technology and Instructional Services
Sale Inventory Records (A55)	Colleges; Units	This series is used to document saleable items in colleges or unit's inventories. This series may include but is not limited to: stock printouts; inventory reports; card files of stock; and related documentation and correspondence.	5 years	Departments

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Shipping Lists and Packing Slips (A56)	Units	This series documents the receipt of equipment, supplies, other items and services from vendors. The series includes: packing slips; shipping and container lists; and bills of lading.	5 years	Departments; Business Affairs Office
Vendor History Reports (A60)	Colleges; Units	This series is used for quick reference of vendor data, selection, and updating pertaining to departmental and college operations. This series may include but is not limited to: reports containing vendor numbers, payee names, invoice numbers, amounts, warrant/voucher numbers, and message comments; copies of purchase orders; requisitions;; promotional and advertising materials; product specification sheets; and related documentation and correspondence.	2 years after superseded or obsolete	Departments; Business Affairs Office
Disaster Preparedness and Recovery Plans (A126) refer to (A17)	Board of Regents, Facilities, and units	This series consist of records related to the protection and reestablishment of data processing services and equipment in case of a disaster. These records may exist in either paper or electronic form. They should be backed-up or copies made, with some copies stored off-site in secure location. The plans should be updated on a regular basis and all personnel should be trained in the procedure for implementation of the plans. Disaster recovery manuals, Business continuity plans, inventories, procedure plans, contact lists.	Destroy after 5 years after superseded by revised plan and after audit requirement is met. Note: Agencies should store disaster preparedness and recovery plans in a secure area off-site all computer installation to which they refer.	Dean
Academic Program Administrative Records (B1)	Colleges; Units	This series documents the daily and routine administration of academic programs of the department or college. This series may include but is not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; convenience copies of reports prepared by admissions, registrar's, and other offices; memos; working papers; and related documentation and correspondence.	5 years	Colleges; Departments; Student Services

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Book Order Records (B2)	Units	This series provides a record of books ordered for courses taught in the department. This series may include but is not limited to: the institution textbook request forms which includes authors, titles, publications, course numbers, and expected enrollment; other forms; and related documentation and correspondence.	1 year	Departments
Special Academic Programs Records (B13)	Institutional Archives; Administering Units	This series documents the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the international student program; National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs. This series may include but is not limited to: policy and program planning and development documentation; explanatory materials on the program; notes; evaluations of courses, support services, and instructors; program course outlines; tuition payment records; program participation and aid selection records; activity accounting records; working papers; reports; and related documentation and correspondence. Portions of these records may be exempt from public disclosure.	Permanent for policy and program planning and development documentation and reports; 7 years for all other records	Dean; Departments
Student Handbooks (B14)	Institutional Archives; Creating units	This series documents the requirements, policies, and offerings of specific instructional units for use by current or potential students. This series contains information or policies on: fields of study; faculty; academic requirements; the evaluation process; and the research proposal process.	Permanent for 1 copy of each edition	Dean; Departments; Student Services

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Events Administration Records (C26)	Student Center, Alumni Relations, Intercollegiate Athletics, Housing & Dining Services, and Units	This series documents facilities, services and other accommodations provided by the institution for events on campus. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence.	7 years after expiration for written agreements; 5 years for all other records	Dean; Departments; Development; Alumni Relations
Computer System Maintenance Records (D1)	Information Technology, Units	This series documents the maintenance of the institution's computer systems and is used to insure compliance with any warranties or service contracts, schedule regular maintenance and diagnose system or component problems, and document system backups. Records may include: computer equipment inventories; hardware performance reports; component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records); system backup reports; and backup tape inventories.	For life of system or component for records related to system or component repair or service; until superseded for records related to regular or vital records backups	OTIS
Computer System Program Documentation Records	Information Technology, Units	This series documents the addition, modification, or removal of software from an agency computer system. Records usually fall into six categories: (a) records that document operating systems; (b) records that document the in-house creation and modification of application programs; (c) records that document the structure and form of datasets; (d) records that document the use of commercial software packages; (e) records that document the structure of the system; and (f) records that document system-to-system communication. Records may include: system overviews; operations logs; job listings; operator instruction manuals; system development logs; system specifications and changes (including narrative and flow chart descriptions); conversion notes; dataset logs; dataset inventories; dataset record layouts; hard copies of tables; data dictionaries; data directories; programming logs; program specifications and changes; record layouts; user views; control program table documentation; program listings; and commercial software manuals.	For the life of the system	OTIS
Forms Development Records (D3)	Units	This series documents the development of new or revised forms within the institution and is used to provide a history of previous forms. Records may include: sample forms; drafts; revisions; form logs/listing; proposals; authorizations; and illustrations.	Until superseded	Dean; Departments; All other units



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Information Systems Planning and Development Records (D4)	Information Technology, Units	This series documents the planning and development of university information systems. Although these records typically document computerized information systems, they may also document manual filing systems and microfilm systems. The records are used to insure that planned systems will help an agency fulfill its missions, are cost-effective, conform to adopted information standards, and integrate with existing agency information systems. Records may vary according to the level of documentation required for each system, but may include: information technology plans; feasibility studies; cost-benefit analyses; studies and surveys; system specifications and revisions; component proposals; technical literature; vendor literature and proposals; and correspondence.	For life of system for implemented systems; unimplemented systems: retain for useful life	OTIS
Software Management Records (D8)	Information Technology, Units	This series documents the use of software in agency information systems. The series is used to insure that agency software packages are compatible, that license and copyright provisions are in compliance, and that upgrades are obtained in a timely manner. Records include: software purchase records; software inventories; software licenses; site licenses; and correspondence.	Until software is disposed of or upgraded	OTIS
Academic and Unclassified Employees Personnel Records (Supervisor's Copy)	Institutional executive offices, Colleges, Units	This series documents the academic employee's work history maintained in the office of the dean, director, department head, or vice provost. It includes evaluative materials and non-evaluative information such as job title, rank, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some of the documents comprising this series include confidential information such as social security number, birth date, and marital status. These records may be for full-time, part-time, and/or courtesy academic employees. Records may include but are not limited to: Activity Reports; copies of Affirmative Action Compliance Data Forms; Applications for Admission to Graduate School; applications, contracts, and other records for sabbatical leave; emeritus faculty status letters; Employee Emergency Medical Information Forms; Applications for Academic Employment; Athletic Contracts/Overseas Agreements; Awards; Conditions of Employment Forms; Notices of Appointment; Overload Compensation Requests; Patent Rights Waivers; Pay/Budget Action Forms; Periodic Reviews of Faculty letters and records; forms documenting personnel actions, including Salary Adjustments and Summer Session Appointments; professional development records; Proposals for Academic Appointment; recommendations; reports of conferences attended; Staff Reports of Service to the Institution; Periodic Reviews of Administrators Summaries; reprimands; Requests for Approval for Outside Employment; resumes or curriculum vitae; Retirement Agreements; Sick Leave Accrual Forms; Teaching Evaluations; Student Evaluations of Faculty Summary Reports; Technology Transfer Agreements; Tenure Relinquishment Agreements; Employment Eligibility Verifications (Form I-9); Vacation Leave Report Forms; home address/telephone disclosures; and other relevant documents and correspondence, including commendations, letters from the chair or the dean concerning the nature of the faculty member's appointment and the expectations of the faculty member, letters	3 years after employee separation	Dean; Departments; Business Affairs

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		granting fellowship, letter of position offer, letter of resignation, memoranda of agreement, Notices of Disciplinary Action, Notices of Layoff, unsolicited letters praising teaching or participation in a conference, applicable references and employee relations. Records may be exempt from public disclosure.		
Classified Unsolicited Applications (G14)	Units	This series documents unsolicited requests for consideration for employment possibilities in institution units. Records may include but are not limited to: curriculum vitae and resumes; transcripts; letters of application; and related materials and correspondence.	3 months	Dean; Departments
Employees Training Records (G19)	Human Resources; Units	This series documents employee participation in training courses or programs for development purposes. Records may include but are not limited to: staff fee requests to take classes; course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records; training requests and authorizations; certificates of completion; and related documentation and correspondence.	5 years	Dean; Departments
Employees Employment Verification Requests (G20)	Human Resources, University Archives, Units	This series documents the responses to inquiries for evidence of employment from offices within the institution, banks and credit agencies, government agents, businesses, and current and former personnel. Records may include but are not limited to: copies of written requests; release of information authorization forms; telephone request forms; office control documents; statistical summaries; and related documentation and correspondence.	3 years	Departments; Business Affairs Office

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Graduate Assistantship Application Records (G25)	Units	This series documents applications of graduate students for Graduate Teaching Assistantships and Graduate Research Assistantships in academic programs. Records include: applications developed by individual units; resumes and vitae; and related documentation and correspondence.	5 years after application or termination of employment, whichever is longer for successful applicants; 3 years for denied applicants	Departments
Promotion, Tenure, and Salary Increase Records (G35)	Colleges	This series documents the periodic consideration of faculty who are eligible for changes in rank, tenure status, and/or pay. Records may include but are not limited to promotion and tenure dossiers compiled and presented by the faculty member as per instructions from Academic Affairs as well as other materials which are compiled and maintained for inclusion, analysis, and summarization into the dossier folders. The dossiers may include but are not limited to: candidate dossier cover form or checklist; prior service agreement; Confidential Waiver for letters of evaluation; current position description; letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants/clients, and peers; candidate acknowledgment of dossier review; student evaluations of faculty summary reports; committee signature sheets; committee findings; recommendations of administrative superiors; and related documentation and correspondence.	7 years after end of employment	Dean; Departments; Business Affairs
Recruiting Pool Records (G36)	Colleges, Units	This series is used as a reference for prospective applicants for faculty and staff positions drawn from either previous recruitments or unsolicited applications. Records may include but are not limited to: curriculum vitae or resumes; cover letters; Applications for Employment; interview materials; position announcements; evaluations of prospective employees; and related correspondence.	2 years	College; Departments
Search Records (G40)	Units	This series documents the selection process for academic, classified and student positions within the institution. Records may include but are not limited to: applications; curriculum vitae or resumes; academic transcripts; samples of writing or publications; approvals of recruitment proposals; candidate lists; position announcements; position advertisements; position descriptions; Certificate of Eligibility; copies of Affirmative Action Compliance Data Forms; Requests to Fill Academic Position Forms; interview materials such as schedules, rating sheets, tallies, screening and interview notes, review committee notes and memoranda; telephone conversation notes; and related correspondence such as cover letters and reference letters. NOTE: Application materials of successful academic and classified candidates become part of the employee's personnel file. Portions may	4 years after search completed for academic and classified search records; 1 year for student search records	Dean; Departments

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		be exempt from public disclosure.		
Staffing Policies Records (G41)	Colleges, Units	This series documents the adoption and implementation of personnel and staffing policies at the college and/or unit level pertaining to topics such as: faculty evaluations; faculty retention; merit increases; performance evaluations; promotion and tenure, both instructions and guidelines; sabbatical leave, both policies and reports; salary adjustments, both guidelines and statistics; and support staff information. Records may include but are not limited to: notations on priority staffing decisions; position descriptions; requests for approval of new staff positions; justification statements; descriptions of teaching responsibilities for positions requested; funding information; job announcements; memoranda; and related documentation and correspondence.	2 years after superseded; Institutional Archive Permanent	Dean; Departments
Student Faculty/Course Evaluation Records (G44)	Units	This series documents students' evaluations of teaching personnel and is used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include: bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence.	7 years	Departments
Time, Attendance and Leave Records (G45)	Administering Unit	This series documents time and attendance and leave for faculty, classified and student employees. Records include: monthly time entry forms which may include hours worked, leave used, employee's name, supervisor's authorization, earnings information, and time distribution information; leave request forms; overtime authorization or certification; leave summary reports; leave without pay records; Work-Study time certificates and referrals; and related documentation.	Individual Leave notifications; 4 years; Employee Cumulative Leave Record: 50 years  Use of a personnel file closeout form is recommended to record cumulative leave at time of employee separation (ex. <b>Separation notice</b> ).	Departments; Business Affairs Office

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Volunteer Program Records (G46)	Units	This series documents the activities and administration of an Institution's department or office's volunteer program. Records may include: volunteer hour statistics; volunteer program publicity records; insurance requirement information; and inactive volunteer files containing applications and conditions of volunteer service forms.	3 years after separation	Departments
Student Time and Attendance Forms, Restricted Funds (G66)	Units	This series documents hours worked by student employees including those on work-study who are paid from restricted fund accounts. This series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students. This series only includes departmental time and attendance forms.	5 years after issuance of final financial report to awarding agency by the research accounting unit for records of all students paid from U.S. Dept. of Education awards; 3 years after issuance of final financial report to awarding agency by Research Accounting for records of regular student workers paid from other restricted funds; 3 years after issuance of final financial report to awarding agency by research accounting or 5 years, whichever is longer for records of work-study students paid from other restricted funds.	Departments
Student Time Records (G67)	Payroll, Units	This series documents hours worked by student employees including those on work-study. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students. This series may include but is not limited to: Work-Study Time Certificates and referrals; photocopies of payroll time cards; automatic time card program printouts; and departmental time and attendance forms.	5 years	Departments; Business Affairs Office
Leave Request Form (G75)	Human Resources, Units	This series is used when an employee is requesting leave such as sick or annual. Employee must complete and supervisor must sign to give authorization. May contain name of employee, pay period ending date, date of leave, nature of leave (sick/annual, signature of employee, signature of supervisor	3 years	Departments; Business Affairs Office

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Fund-Raising Records (H8)	Development Office, Units	This series documents institutional efforts to raise funds to support program functions and facilities. This series may include but is not limited to: requests for fund-raising; individual benefactors and prospective donors files; public relations records; event planning and arrangement records; gift history reports; background on previous donations; pledges; and related documentation and correspondence.	7 years	Director of Development
News Release Records (H10)	Institutional Archives, Creating Units	This series documents newsworthy events of the institution. This series may include but is not limited to news releases issued by institution news and communications units arranged by topic and/or date of issue; and brief descriptions of scholarship award offered by institution. The news releases may contain but are not limited to: the source of the information; title; byline; activity location and dates; and specified time of release.	Permanent for releases pertaining to significant events and policy matters; 10 years for routine releases	Director of Communications
Ordering Records (H11)	Units	This series documents continuing requests for publications produced by an office. This series may include but is not limited to: standing order cards or lists indicating the name and address of the requestor; book titles; transaction date; invoice number; and related documentation and correspondence.	Until request becomes inactive	Departments
Photographs (H12)	Institutional Archives; creating untis	This series provides photographic documentation of institution activities, events, students, faculty, and staff with significant relevance to either the institution's or individual unit's function and/or mission. It may be used for student recruitment and orientation, fund-raising, publicity, publications, research, or teaching. This series includes fully identified photographs imprint, negative, slide formats, and digital photographs	Permanent	Departments, Director of Communications

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Publications Inventory Records (H13)	Units	This series is used as a reference for publications in stock in an office. This series may include but is not limited to cards and lists. The information may include but is not limited to: publication title; date of publication; and retail cost.	4 years after superseded	Departments, Units including Student Services, Director of Communications
Publications Records (H14)	Institutional Archives; Creating units; University Publications	This series includes publications produced by individual institution offices. It may be used to document the activities of the office, for educational purposes and/or for informational purposes. Series also includes records of specifications used in setting up publications for printing by the institution's publications office. Types of publications may include but are not limited to: catalogs; books; magazines; newsletters; handbooks; yearbooks; directories; brochures; pamphlets; media guides; guidebooks; proceedings; programs; and flyers. Series may include but is not limited to: specifications, costs of productions, art work, samples, working papers; mock-ups; drafts, final publications, and related documentation and correspondence.	Permanent for final publications; 5 years for all other records	Departments, All Units
Scholarship Reports (H16)	Institutional Archives; Colleges, Units	This series is used as a historical reference on the recipients of scholarships in colleges or departments. These records may include: information regarding the names of recipients; when they received the scholarships; names of scholarships; dollar value of scholarships; year recipients entered and graduated; criteria for selection of recipients; and related correspondence and documentation.	Permanent	Dean; Departments; Business Affairs
Unit/Institution/ Organization History Records	Institutional Archives; Colleges, Units	This series provides a record of the historical development of the institution; units within the institution; and organizations associated with the institution, such as honor societies, fraternities and sororities, and student/faculty/staff clubs. This series may include but is not limited to: newspaper clippings; photographs; published and unpublished historical sketches; publications; statistics; ephemera; and related documentation and correspondence.	Permanent	Dean; Departments

## RECORDS RETENTION SUMMARY

TOPIC & REFERENCE	RECORD COPY	DESCRIPTION	RETENTION	RESPONSIBLE PARTY
Research Data (Human Subjects) (I11)	Institutional Archives; Principal investigator, Laboratory	This series documents the routine research activities of research projects. This series may include but is not limited to: detail of tests, client names, procedures performed, test results, evaluations, notebooks; binders; spreadsheets, or any other type of journal format.	Projects are not of major significance but there are potential long-term affects to human subjects: Retain 70 years after completion of project. Projects of major national or international significance, interest or controversy, or where the principal investigator has a widely acknowledged influence on the area of scholarship: Permanent	Principal Investigators
Emergency Response Plans and Procedures (J14)	Institutional Archives; Environmental Health & Safety, Security Services, Safety and Risk Management, Units	Series documents procedures to be followed in the event of emergency. Records may include: step-by-step procedures; unit and institutional emergency response plans; and related correspondence.	Until superseded	Dean's Unit
Certification Records (K33)	Colleges, Schools	This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession and forms the basis of the initial certification for various professions. Records may include: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence.	5 years after initial certification application by student	Departments, Student Services
Examinations, Tests, Term Papers, and Homework Records (K38)	Units	This series documents student subject mastery in institution courses. Records may include but are not limited to: examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations.	1 term after completion for uncontested grade results; until resolved for contested grade results	Departments/Faculty



## RECORDS RETENTION SUMMARY

TOPIC & REFERENCE	RECORD COPY	DESCRIPTION	RETENTION	RESPONSIBLE PARTY
Independent Study Records (K47)	Colleges, Units	This series documents departmental approval for students to enroll in independent study courses. Records may include but are not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	5 years after graduation of date of last attendance.	Departments
Internship Program Records (K49)	Colleges, Units	This series is used to provide a record of the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence.	5 years	Departments
Student Activity Reports (K62)	Institutional Archives, Colleges, Units	This series provides a record of graduate and undergraduate student statistics in a specific instructional unit and is used to provide summary information which may be used for planning or review. This report may include but is not limited to: country of origin; degree(s) held and pursued; financial situation; gender and ethnicity; marital status; veterans status; academic standing and grade point averages; placement test scores; immigration status; and other data elements.	Until superseded or obsolete	Departments, Student Services
Student Advising Records (K63)	Academic Advising Offices	This series is used to provide a record of an undergraduate and/or graduate student's academic progress within a specific department and or college program. Most of the components in this record series are reference copies of records maintained in the files of the Registrar's Office and/or the Graduate School and are maintained for the convenience of the student academic advisors. Records may include but are not limited to: applications for program admission; notices of admission; grade reports; in-house grade record cards; degree program requirement lists; departmental course waiver forms; program advisors' reports showing progress towards academic degrees; advising checklist forms; advisors' notes; copies of transcripts; Program Planning Sheets; advanced standing examination reports; official graduation audits; curriculum posting sheets; recommendation letters; suspension notices; re-admission notices; comprehensive exam results; awards; and related documentation and correspondence. Portions of these records may be exempt from public disclosure.	5 years after graduation or date of last enrollment	Departmental Academic Advisors

RECORDS RETENTION SUMMARY

TOPIC & REFERENCE	RECORD COPY	DESCRIPTION	RETENTION	RESPONSIBLE PARTY
Student Recruitment Records (K68)	Colleges, Units	This series documents effort of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to: prospects lists; interview and conversation notes; photographs; personal information forms and resumes; test scores; academic transcripts; and related documentation and correspondence.	5 years	Departments, Student Services
Student Status Cards (K69)	Colleges, Units	This series documents the status of students who are enrolled or have been enrolled and graduated from the academic program. Information on the individual cards may include but is not limited to: name; date entered; department; change of school; graduation dates; degrees; previous schools attended; notation of activities and honors; and photographs of individuals.	5 years after graduation or date of last attendance	Departments, Student Services
College Department Student Files (K77)	College	This file contains the following documents related to the college's process of graduation certification. Included are; checklist for graduation, grade reports, student academic records, official change of grade forms, miscellaneous arts & sciences administrative notifications, official request forms for permission to change colleges within the university system, letters of reference. etc.	5years after graduation or date of last enrollment	Student Services

## RECORDS RETENTION SUMMARY

TOPIC & REFERENCE	RECORD COPY	DESCRIPTION	RETENTION	RESPONSIBLE PARTY
Purchase Request Records (M1)	Business Services, Units	This series documents the purchase of supplies and services by the institution. This series may include but is not limited to: purchase requests; purchase orders; inter-departmental requisitions for equipment, supplies, and services; and related documentation and correspondence.	5 years	Departments, Business Affairs
Fiscal Correspondence (M4)	Units	Records document communication with other government agencies, vendors, and the public pertaining to the agency's fiscal policy, obligations, and revenue. Records include correspondence sent and received by the agency administrative and/or business office staff.	5 years	Departments, Business Affairs
Miscellaneous Accounting Reports (M7)	Creating Units	This series documents the production of various accounting reports made by individual offices or departments on a monthly, quarterly, or annual basis. These reports provide summary information relating to the department and its programs, and may be used for planning or review. Reports include operating statements, year-end projections, reconciliation's, and expenditures by facilities, accumulated hours and dollars by employee, summaries of assets and liabilities, sales, cost accounting, and income. Records may include but are not limited to: working papers; drafts; final reports; and related documentation and correspondence.	5 years for annual reports; 1 year for monthly and quarterly reports and working papers	Departments, Business Affairs
Credit Card Administration Records (M17)	Units	Series documents administration of credit cards and P-Cards issued to institutional staff and units. Records may include: applications; master monthly billing statements; individual card holders' statements; billing summaries; printouts including vendor analysis by code; number of charges and stores; use summaries; related correspondence.	7 years	Departments

RECORDS RETENTION SUMMARY

TOPIC & REFERENCE	RECORD COPY	DESCRIPTION	RETENTION	RESPONSIBLE PARTY
Travel Records (M23)	Business Office; Units	This series may be used: to document requests for and approval of travel by employees of the institution or the agency; to monitor travel expenditures; for planning purposes; to document changes in dates of travel, changes in the name of the traveler, changes in itinerary, or changes in funding sources within an out-of-state travel authorization; and to document approval for vehicle rental. Records may include but are not limited to: out-of-state travel authorization forms; travel itineraries; travel advance forms; travel reimbursement requests (employee and non-employee); receipts; approval memos; memos in place of itemized receipt; affidavits of lost receipt memos; authorizing signatures; and related documentation and correspondence.	5 years	Departments, Business Affairs
Budget Activity Reports (M25)	Units	This series provides a record of departmental fiscal activity presented in summary form that may be used for budget planning. These records may be used to analyze budget cuts or restructuring of programs. Records may include: working papers; memoranda; final summary reports and spreadsheets; and related documentation and correspondence.	10 years for year-end reports; 1 year for all other records	Departments, Business Affairs
Budget Maintenance Reports (M26)	Units	This series documents the changes made in the initial unit budget as distributed by the institution's budget office at the beginning of the new fiscal year. This series may include but is not limited to: budget change request forms; budget change suspense records; budget change registers; authorization for budget change forms; copies of revised unit initial budgets; fund transfer notices; spread sheets; expenditure and obligation reports; allotment reports; and related documentation and correspondence.	6 years	Departments, Business Affairs
Cooperative Federal Program Budget Preparation, Projection and Allocation Records (M28)	Administering Units	This series is used to develop, estimate, propose, and plan preliminary budget requests for cooperative federal/state programs and reflects the process by which the annual budget allotment is to be distributed to the department and its programs. This series may include but is not limited to: budget expenditure statements; general ledger statements of accounts; salary work sheets; budget exhibits; project detail sheets; budget requests; budget change sheets; federal agency annual reports; federal agency status of fund reports; journal vouchers; reports to monitor FTE budgets; spread sheets; expenditure projection work papers; preliminary section budget proposals; budget development schedules; allotment reports; decision packages; spending plans; compensation plan proposals; contingency/deviation plans; various federal publications; reports; forms; and related documentation and correspondence.	5 years	Departments

RECORDS RETENTION SUMMARY

TOPIC & REFERENCE	RECORD COPY	DESCRIPTION	RETENTION	RESPONSIBLE PARTY
Cash Balances and Reconciliations (M31)	Business Office; Units	This series documents cash balances, receipts, and disbursements. This series may include but is not limited to: cash register tapes; batch control cards; invoices; receipts; reports; and summaries.	5 years	Departments, Business Affairs,
Audit Report (M43)	Units	This series documents the unit's response to internal and independent management, operations, and fiscal audits. This series may include but is not limited to: audit reports; written responses showing how recommended changes will be implemented; and related documentation and correspondence.	5 years or two successive audits, whichever is longer	Departments, Business Affairs
Subpoenas, and/or Production of Documents Requests	Units; Legal Affairs	This series documents subpoenas and/or production of documents requests from third parties. This series does not include Open Records Act Requests.	5 years	Dean, Departments