

# Records Retention Policy and Schedule

**Policy Name:** Records Retention

**Approval Authority:** Cabinet

**Interpreting and Implementing Authority:** Wesleyan College Archives

**Effective:** May, 2022

**Last Revised:** May, 2022

**Next Review Date:** 5 years from last revised date

## **Policy Statement**

Wesleyan College is committed to following best practices for the systematic review, retention, and destruction of College Records. It is the responsibility of each individual employee, student, and member of the College community to follow the Record Retention Policy for Records they create and retain for the periods of time necessary to satisfy the College's business and legal obligations.

## **Entities Affected by the Policy**

Wesleyan College employees and student organizations

## **Policy Details**

The Wesleyan College Records Retention Schedule provides statements regarding ownership, retention, and disposition of College records. This document identifies:

- Types of records
- How long records are kept
- The disposition of the records

For assistance using the Schedule, or creating a supplemental records policy, please contact the College Archivist. Files that are permanent will either be kept in the department or, if noted, transferred to the College Archives. If you need assistance with storage and preservation, contact the Archivist.

## **Record Types:**

This Retention Schedule (Appendix A) is organized by type of record. This list is neither comprehensive nor exhaustive. The types listed include:

- Academic Affairs
- Administration
- Financial
- Human Resources
- Information Technology
- Intercollegiate Athletics
- Legal
- Library/Archives/Records Management
- Medical Services
- Police, Security, and Safety
- Property Management
- Research
- Student Records
- Common

## **Definitions**

### **Record**

- Written or printed documents that contain information regarding the colleges' educational and business transactions
- Types of records
  - Active – Record that is needed to perform current operations; accessed frequently; located near user
  - Inactive – Record that is not used frequently but must be retained; has not met the retention requirements for legal, operational, or scholarly reasons
  - Working Copy – unofficial copy (preliminary drafts, worksheets, duplicate copies)
  - Record Copy – Official copy that is retained for legal, historical, or operational purposes
  - Permanent – determined to have historical, legal, administrative, or other value to warrant preservation
  - Archival – Record that had been deemed to have historic value; warrants preservation

### **Office of Record**

- Office that is responsible for maintaining specific records
- May or may not be the creator of the original

### **Retention Period**

- Length of time a record must be kept to meet administrative, legal, fiscal, or historical requirements

### **Record Series**

- Record of a specific kind or type

### **Record Retention Schedule**

- List of Record Series indicating the length of time it is retained, the office of record, and the disposition schedule

### **Disposition**

- Final action taken, including destruction, transfer, or permanent preservation

### **Record Storage**

- Depending on the Record Series, the Office of Record must ensure appropriate storage in accordance with best practices for all Records

## **Responsibilities**

### **Administrative and Academic Units**

- Transmitting Permanent Record to the appropriate Office of Record, i.e., College Archives, Registrar, etc.
- Managing Records in accordance with College requirements, in compliance with applicable federal and state laws, and in compliance with the Record Retention Schedule
- Ensuring that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the Record Life Cycle.

### **College Record Administrator**

- Coordinating the Record Retention Policy
- Responsible for ensuring updates to the Record Retention Schedule in compliance with federal and state Record retention policies
- Providing training and ongoing assistance for Record Management Liaisons and other individuals assigned with Record management responsibilities

### **Faculty/Staff**

- Managing Records in accordance with College requirements in compliance with Record Retention Schedule
- Ensuring that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the Record Life Cycle
- Assisting in identifying and preserving Record of vital or historical value to the College

**Faculty/Staff Committees (includes Department, School, College, Faculty Assembly, and Staff Assembly Meetings and Committee Meetings)**

- Managing Records in accordance with College requirements in compliance with Record Retention Schedule
- Ensuring that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the Record Life Cycle
- Assisting in identifying and preserving Record of vital or historical value to the College

**Office of Record**

- Housing and maintaining Records as designated by the Record Retention Schedule

**Registered Student Organizations**

- Manage Record in accordance with College requirements in compliance with the Record Retention Schedule
- Ensure that information of a sensitive or confidential nature is protected from unauthorized disclosure throughout the Record Life Cycle
- Assist in identifying and preserving Record of vital or historical value to the College

**Violations of the Policy**

Violations of this Policy will be handled in accordance with the procedures in the Employee Handbook and Student Handbook.

**Interpreting and Implementing Authority**

Wesleyan College Archivist will serve as the College Record Administrator and be responsible for the education and implementation of this policy.

**Relevant Links**

[University System of Georgia Records Management and Archives](#)

[Manhattanville College Records Retention Policy](#)

## Appendix A

### Records Retention Schedule

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## Academic Affairs

### Academic Program Administrative Records

**Description:** This series documents the development, planning, and routine administration of academic programs of the department or college, including special programs serving and aiding institutional students. This series may include but is not limited to: policy and program planning and development documentation; explanatory materials on the program; evaluations of the program; final reports; curriculum committee meeting minutes; curriculum proposals; review agendas; faculty status reports; reviews of individual degree programs; registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international programs; cooperative ventures; summer term classes and enrollment reports; and placement information.

**Retention:** Final reports, meeting minutes, curriculum proposals, reviews of individual degree programs, and policy and program planning and development documentation and reports: PERMANENT; All other records: 5 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Catalog/Bulletins, Class Scheduling Records, and Student Handbooks

**Description:** This series documents information regarding academic requirements, procedures, and policies; program and course offerings; fields of study; faculty; evaluation and research proposal processes; room scheduling records, and the formulation of class schedules, including course schedule maintenance forms.

**Retention:** 1 copy of published catalogs/bulletins, schedule of classes booklets, and handbooks: PERMANENT; Course Schedule Maintenance Forms: 2 years; All other records: 1 year.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Courses Records

**Description:** This series documents course offerings and individual course contents. These records include: syllabi; course descriptions; course outlines; course request proposals; enrollment reports; course summaries; request for undergraduate and graduate course and instructor approval forms; nominations to the undergraduate faculty; course announcements; handout materials; and final and summary reports.

**Retention:** Final and summary reports: PERMANENT; All other records: 7 years after superseded.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Scholarship Records

**Description:** This series is used as a historical reference on the recipients of scholarships in colleges or departments. These records may include: recipients' names; when they received the scholarships; names of scholarships; dollar value of scholarships; year's recipients entered and graduated; and criteria for selection of recipients.

**Retention:** PERMANENT.

**Disposition:** Transfer to College Archives

### Special Events, Lectures, and Tours Records

**Description:** This series documents the efforts of a college or unit to provide lectures, informative sessions, short-courses, workshops, training programs, excursions, celebratory events, and tours. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; audio/video recordings; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; and participant evaluations.

**Retention:** See the College Archivist.

## Administration

### Accreditation Records

**Description:** This series documents the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate accreditation board for the specific program or service and usually includes statements on mission, finance, and educational programs, departments, and divisions composition. This series may include but is not limited to: self-evaluation reports; final reports sent to accreditation organization; statistical data; working papers; and accreditation organization evaluation reports.

**Retention:** Self-evaluation reports, final accreditation reports, and accreditation organization evaluation reports: PERMANENT; Other accreditation records: 2 accreditation cycles.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Administrative Reports

**Description:** 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; and final annual reports.

**Retention:** Final annual reports and periodic and summary statistical reports not reflected in the final annual report: PERMANENT; All other reports: Until superseded or obsolete.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Advisory Board Records

**Description:** This series documents the activities of boards and councils that function in an advisory capacity and may have as their charge highly specific or broad areas of concern. This series may include but is not limited to meeting minutes; agendas; reports; notes; working papers; audio recordings; and transcriptions.

**Retention:** Minutes, agendas, reports, and correspondence: PERMANENT; All other records: 3 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Committee Reports

**Description:** 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; and working papers.

**Retention:** Agendas, minutes, and reports of meetings where any official business, policy, or public matter is formulated, presented, discussed, or voted upon and final reports of Ad Hoc Committees: PERMANENT; All other records: 3 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Events Administration Records

**Description:** 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; customer evaluations; and summary reports.

**Retention:** Written agreements: 7 years after expiration; All other records: 3 years.

**Disposition:** Confidential Destruction

### Films, Videotapes, Photographs, and Sound Recordings

**Description:** This series provides visual and/or aural documentation of institutional activities and events including intercollegiate athletics, students, faculty, and staff with significant relevance to both the institution's or individual unit's function and mission.

**Retention:** Final Product: PERMANENT; All other records: Useful life.

**Disposition:** Permanent Files – Transfer to College Archives

### Financial Donor Records

**Description:** This series documents award guidelines; letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates; donors who provide donations; recognition of donors; and the use of donated funds. Information in this series may include: donor and donation information; contribution notices; lists of donors; award lists; invoices; purchase orders; and receipts. This series does not include records, artifacts, or other materials donated to libraries, archives, or museums.

**Retention:** Letters and agreements of gift and copies of bequest instruments: PERMANENT; Other donor records: 7 years after discontinuation of donations; Fiscal records: 7 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

## Friends and Affiliated Groups Records

**Description:** This series documents the efforts of special interest support groups to establish relationships with community agencies, individuals, businesses, and groups to gain their assistance with the development and coordination of institutional programs. This series may include but is not limited to: founding documents; bylaws; reports; brochures; meeting agendas; and minutes.

**Retention:** Founding documentation, bylaws, and meeting minutes and agendas: PERMANENT; All other records: 5 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Fundraising Event Records

**Description:** This series documents the fundraising activities of the institution, support groups, and committees. This series may include but is not limited to: requests for fund-raising; event planning and arrangement records; background on previous donations; pledges; posters; banners; and other fundraising and marketing materials.

**Retention:** Posters, brochures, and banners: PERMANENT. Financial Records: 7 years. Marketing records: 5 years. License plates: Retain one sample as PERMANENT.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Institutional Planning Records

**Description:** This series documents the college or unit's role in the development of short-term or long-term plans for the institution. This series may include but is not limited to: instructions; internal planning committee materials; proposals; strategic planning reports; surveys; activity reports; informational materials; and working papers.

**Retention:** Final planning reports, goal and objective statements, and instructions: PERMANENT; All other records: 10 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Institutional Speeches and Statements

**Description:** 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; drafts; and source materials.

**Retention:** Final speeches, statements, and recordings: PERMANENT; Drafts and source materials: 2 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Meeting Records

**Description:** This series documents the meetings of the faculty and/or staff of a department or office that sets policy and procedures for the unit. 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.

**Retention:** Minutes, agendas, and reports: PERMANENT; All other record: 5 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## News Release Records

**Description:** 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 awards offered by institution.

**Retention:** Releases pertaining to significant events and policy matters: PERMANENT; Routine releases: 10 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Official Calendar of Events

**Description:** This series documents when and where institution events take place.

**Retention:** PERMANENT.

**Disposition:** Transfer to College Archives

## Policies and Procedures

**Description:** This series includes the approved policies and procedures of the institution.

**Retention:** PERMANENT.

**Disposition:** Transfer to College Archives

## Student Organization Records

**Description:** This series documents the history, development, and policies of student organizations. Records may include but are not limited to: annual review forms; minutes; constitutions and bylaws; committee, subcommittee, and task-force records; student government bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; newspaper clippings; published and unpublished historical sketches; publications; organizational charts; and photographs.

**Retention:** Charters; minutes; by-laws; student government bill and resolution files; budgets; handbooks; rosters; scrapbooks; photographs; publications; historical sketches; organizational charts; and other historic records: PERMANENT; All other records: 10 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Financial

### Accounting Records

**Description:** This series includes bank statements, purchase requests, purchase orders, requisitions, financial reports, accounts payable and receivable records, write-off records, discrepancy, payment schedules, operating statements, year-end projections, reconciliation and expenditure reports, cancelled checks, check stubs, moving expenses records, cost accounting reports, refund/disbursement request records, returned checks, deposit slips, travel records, credit voucher requisition records, cash balances and reconciliations, sales and cash reconciliation records, journal entries, outstanding obligations, refund/disbursement requests, receipts, and invoices.

**Retention:** Monthly and quarterly reports: 1 year; All other records: 5 years.

**Disposition:** Confidential Destruction

### Accounts Aging and Accounts Receivable Subsidiary Records

**Description:** This series provides a cumulative listing of all receivables on the accounts receivable master file and a history of charges and payments recorded for each customer on the student information system.

**Retention:** 7 years.

**Disposition:** Confidential Destruction

### Accrual Worksheets

**Description:** This series documents monthly and year-to-date expenditures for each project, cost category, and line item.

**Retention:** 3 years after the end of the fiscal year.

**Disposition:** Confidential Destruction

### Annual Budget Records

**Description:** This series documents the annual institutional budget provided for inclusion in its Annual Adopted Operating Budget book. This series includes: operating budget expense by categories and functions report; estimated gifts, grants, contracts and clearing account summary report; student fee income and application of funds report; statewide public service source and application of funds; other reports specified by the Chancellor's Office; and institutional budget preparation instructions.

**Retention:** Annual operating budget: PERMANENT; All other records: 7 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Annual Financial Statements

**Description:** This series provides a summary and report of fiscal year operations.

**Retention:** PERMANENT.

**Disposition:** Retain in department

### Annual Fiscal Reports

**Description:** This series documents annual fiscal year-end status of accounts and is used to provide the office with summary information relating to its programs. Records include: reconciliation reports; annual operating statements; and schedules of rates.

**Retention:** 5 years or two successive audits, whichever is longer.

**Disposition:** Confidential Destruction

### Audit Report

**Description:** 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 and written responses showing how recommended changes will be implemented.

**Retention:** 5 years or two successive audits, whichever is longer.

**Disposition:** Confidential Destruction

### Bids and Competitive Records

**Description:** This series documents the procurement of equipment and service valued in excess of bid limit. This series may include but is not limited to: acquisition specifications; acquisition justification studies and explanations; requests for proposal (RFP) forms; affidavit of publication for RFP forms; requests for invitations to bid (RFI); requests for quotes (RFQ); vendors proposals and bids; bid tabulation sheets and records for all bids received; departmental requisition forms; and competitive quotes.

**Retention:** Capital improvement projects: 11 years; All other records of selected bids: 7 years; Records related to non-selected bids: 5 years after selected contract has been signed.

**Disposition:** Confidential Destruction

## Budgeting Records

**Description:** This series documents the planning, projection, preparation, and allocation of budgets, including cooperative federal program and self-sustaining program budgets.

**Retention:** Year-end budget reports: 10 years; Budget maintenance reports: 6 years; Other budget reports: 1 year; All other budget records: 5 years.

**Disposition:** Confidential Destruction

## Business Office Log Out and Safekeeping Records

**Description:** This series documents checks processed by the office and given to another party and funds placed with the office for safekeeping in trust and their disbursement to students or departments.

**Retention:** 4 years.

**Disposition:** Confidential Destruction

## Collection Records

**Description:** This series documents the office's efforts to collect unpaid accounts. Records include: collection letters; notices; letters of transmittal; and bankruptcy records.

**Retention:** 5 years after account is paid in full or deemed uncollectible.

**Disposition:** Confidential Destruction

## Credit Card Administration Records

**Description:** This 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; and use summaries.

**Retention:** 7 years.

**Disposition:** Confidential Destruction

## Development and Endowment Management Records

**Description:** This series documents the revenue earned quarterly on gift accounts and fees charged by the institution's development office. Information includes: dates; gift account amounts and identification numbers; earnings; department or account responsible for payment; and fee amount.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

### Forecast and Actual Pay Reports

**Description:** This series documents monthly gross and actual pay by month and account number. This series includes: employee name and social security number; major account; salary code; FTE; rank; leave status; position title and class number; starting date; appointment; terms of service; tenure; and forecast and actual pay broken down by months of the fiscal year.

**Retention:** 4 years.

**Disposition:** Confidential Destruction

### Grant Records (Non-Research)

**Description:** This series documents non-research grants.

**Retention:** Final narrative reports: PERMANENT; All other records: 5 years after submission of final report or denial of application.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Insurance Fund Claims

**Description:** This series documents requests for payment of insurance claims from the Georgia Department of Administrative Services Risk Management Division. Records may include: auto/liability/property claim reports; estimates of repairs; accident reports; and police reports.

**Retention:** 5 years after claim paid or denied.

**Disposition:** Confidential Destruction

### Insurance Policy Records

**Description:** This series documents insurance policies written to cover all state property, automobiles, liabilities, and special events. Records may include but are not limited to: copies of insurance policies, riders, and endorsements and records of payment.

**Retention:** 7 years after expiration of policy or membership.

**Disposition:** Confidential Destruction

### Ledger Reports

**Description:** This series includes general ledger statements and operating and general ledger reconciliation records

**Retention:** 7 years.

**Disposition:** Confidential Destruction

### Registration Fee Records

**Description:** This series documents the payment of registration fees. Records may include but are not limited to: completed registration forms; journal vouchers; invoices; purchase orders; and wire transfer forms.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

### Staffing Reports

**Description:** This series documents the number of FTE positions in instruction, research, administration, public service, fellowship, and classified staff. This series consists of forms from departments showing FTE positions and office space required. The summaries include department total FTE for each of the principal activity categories listed above.

**Retention:** Summaries: PERMANENT; All other records: 5 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Vendor History Reports

**Description:** This series is used for quick reference of vendor data, selection, and update 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; and product specification sheets.

**Retention:** Useful life.

**Disposition:** Confidential Destruction

## Human Resources

### Acknowledgement of Rules Records

**Description:** This series documents that a new institutional employee has been provided copies of rules and has discussed applicable rules with the supervisor. This series includes but is not limited to acknowledgment forms.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

## Benefits Policies and Procedures Records

**Description:** This series documents policy and procedure decisions and important events in the operations history of the office and includes contracts and formal documents.

**Retention:** 7 years after expiration of program or contract.

**Disposition:** Confidential Destruction

## Biographical Records

**Description:** This series contains biographical data for institutional faculty and staff. This series may include but is not limited to: biographical sketches; vitae; photographs; personal history data sheets; newspaper clippings; retirement notices; funeral programs; and obituaries.

**Retention:** Historical information: PERMANENT: Other records: 3 years after separation from institution.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Employee Evaluations

**Description:** This series includes routine and non-routine evaluations of an employee's work performance, including executive-level employees and student evaluations of faculty.

**Retention:** 7 years.

**Disposition:** Confidential Destruction

## Employee Grievance Records

**Description:** This series documents grievance brought forward by faculty and staff against the institution that are resolved without litigation. (Records of grievances that are litigated become part of the legal case file.) 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; and appeals documentation.

**Retention:** 3 years after resolution.

**Disposition:** Confidential Destruction

## Employee Personnel Records

**Description:** This series documents an employee's work history at the institution. Records may include but are not limited to: personnel file close out form (includes salary at time of separation, final leave totals, and rehire eligibility); copies of Affirmative Action Compliance data forms; applications for admission to graduate school; sabbatical leave records; applications for academic employment; background surveys; employee contracts; athletic contracts/overseas agreements; conditions of employment; memoranda of agreement; notices of

appointment; overload compensation requests; patent rights waivers; pay/budget action forms; forms documenting personnel actions; proposals for academic appointment; requests for approval for outside employment; resumes or curriculum vitae; retirement agreements; technology transfer agreements; tenure relinquishment forms; promotion, tenure, and salary increase records; and employee Social Security number disclosure forms.

**Retention:** Personnel File Closeout Form: 50 years; Supervisor's Copy: 3 years after separation of employee; Employment Eligibility Verification Forms: 3 years; All other records: 7 years following separation of employee from institution.

**Disposition:** Confidential Destruction

### Employees Benefits Records

**Description:** This series documents employees' participation in benefits programs at the institution. Records may include but are not limited to: Applications for Life Insurance; Authorizations for Electronic Deposit; Health and Dental Enrollment Forms; Benefits Worksheets for Payroll Corrections; Cancellations of Payroll Deduction Authorizations; Insurance Data Change Forms; Employee Status Sheets; Enrollment Status Sheets; Letters of Approval for Coverage from insurance companies; Notices of Declination of Coverage from insurance companies; Notices of Approval of Group Insurance Coverage; Employee Union Membership Applications; Authorization for Payroll Deductions forms; insurance forms; Tax Deferred Investment information; designation of beneficiary forms; and US Savings Bond Payroll Authorizations.

**Retention:** 7 years after discontinuation or change in benefits.

**Disposition:** Confidential Destruction

### Employees Employment Verification Records

**Description:** 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; and statistical summaries.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

### Employment Division Summary Reports

**Description:** This series documents the number of the institutional employees and payroll costs on a monthly basis and yearly basis. This series includes monthly reports by employee category and annual fiscal year reports, which summarize the monthly data.

**Retention:** Annual reports: 10 years; Monthly reports: 3 years.

**Disposition:** Confidential Destruction

## Family and Medical Leave Case Files

**Description:** This series documents requests for leave and granted leaves by employees under provisions of the Federal Family and Medical Leave Act. Records may include but are not limited to: employee leave request forms; notices to employees of leaves granted or rejected; certification of health care providers for the employee or a family member; employee backup information and leave history records; employee time records; and Continuation of Health and Dental Insurance Benefits Memorandum.

**Retention:** 3 years after the separation of the employee.

**Disposition:** Confidential Destruction

## Pay Administration Records

**Description:** This series is used to substantiate payroll overhead costs. Information in this series may include but is not limited to: employee names; social security numbers; institutions; classifications of positions; units of employment; pay periods; gross pay amounts; various withholdings; overhead amounts; and the accounts used to pay employees.

**Retention:** 4 years.

**Disposition:** Confidential Destruction

## Payroll Records

**Description:** This series includes payroll registers, annual payroll earnings logs, pay authorization records, payroll adjustment records, payroll check registers, payroll deduction reimbursement records, payroll data entry summary reports, salary and wage records, paycheck delivery records, payroll draws records, and payroll input detail reports.

**Retention:** Payroll Register and Annual Payroll Earnings Reports: 50 years; Payroll Data Entry Summary Reports: Until superseded by the Payroll Register; Paycheck Delivery Logs: 3 years; Other paycheck delivery records: 1 year after separation of employee; salary and wage records: 4 years after the end of the fiscal year; All other records: 5 years.

**Disposition:** Confidential Destruction

## Position Descriptions

**Description:** This series documents job descriptions for positions and is used for employee recruiting, Fair Labor Standards Act eligibility analysis, position review, and reclassification purposes. Information in position descriptions may include position names, position numbers, qualifications, functions and responsibilities, duties, hierarchical data, job classification numbers, description of duties, and pay rates. Records may include but are not limited to: position description forms; reclassification position descriptions and documentation; classification listings; and positions listings.

**Retention:** 5 years after position is reclassified or redescribed.

**Disposition:** Confidential Destruction

### Retirement Incentive Program Records

**Description:** This series documents the incentive programs providing benefits for university employees who choose early retirement.

**Retention:** 6 years after final payment.

**Disposition:** Confidential Destruction

### Search Records

**Description:** This series documents the selection process for 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; certificates of eligibility; copies of Affirmative Action compliance data forms; requests to fill academic position forms; testing records; background surveys; evaluations; and interview materials.

**Retention:** Academic and classified search records: 4 years after search completed; Student search records: 1 year; Not hired applications: 3 years after position is filled or recruitment canceled; Unsolicited applications: 3 months.

**Disposition:** Confidential Destruction

### Social Security Number Records

**Description:** This series documents international students' and scholars' acquisition of social security numbers. This series may include but is not limited to: social security number applications; Statement of Information - Social Security Account Number forms; photocopies of social security cards; and Controllers Division reports.

**Retention:** Retain until approved; if not approved retain for useful life.

**Disposition:** Confidential Destruction

### Staffing Records

**Description:** This series may include but is not limited to: notations on priority staffing decisions; requests for approval of new staff positions; justification statements; descriptions of teaching responsibilities for positions requested; funding information; job announcements; and memoranda.

**Retention:** 2 years after superseded.

**Disposition:** Confidential Destruction

## Student Employee Time and Attendance Forms, Restricted Funds

**Description:** 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.

**Retention:** Records of students paid from U.S. Department of Education awards: 5 years after issuance of final financial report to the awarding agency; Records of work-study students: 3 years after issuance of final financial report to awarding agency or 5 years, whichever is longer; Records of students paid from other restricted funds: 3 years after issuance of final report to the awarding agency.

**Disposition:** Confidential Destruction

## Student Social Security/Medicare Tax Review Reports

**Description:** This series is used to determine proper FICA coding for student employees. The reports may include but are not limited to: student name and ID number; credit hours carried; budget classification code; FICA quarters earned; year-to-date FICA withheld; and last FICA contribution date.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

## Tax Withholding Authorization Records

**Description:** This series documents amounts withheld by Payroll from employees' checks for taxing authorities. This series may include but is not limited to: the Statement for Claiming Benefits Provided by Section 911 of the Internal Revenue Code; Withholding Allowance Certificates (W-4s); Earned Income Credit Advance Payment Certificates (W-5s); Non-resident Alien Request for Exemption from Tax Withholding (IRS Form 8233); Alien Information Request Form; and Request for Exemption from State Income Tax Withholding.

**Retention:** 4 years after superseded or employee separates.

**Disposition:** Confidential Destruction

## Termination Lists

**Description:** This series documents institutional employees whose records have been deleted from the personnel data base. This series contains annual lists of former employees and includes: employees' names; Wesleyan ID number; department; employment state and end dates; and part/full time status.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

## Time, Attendance, and Leave Records

**Description:** 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; and work-study time certificates and referrals.

**Retention:** Individual Leave Notifications: 5 years; Leave Record: 50 years; Work Time Adjustment Agreements: Until superseded or obsolete; Leave Donation Records: 1 year after leave is used.

**Disposition:** Confidential Destruction

## Transaction Registers

**Description:** This series documents all employee database data entry transactions. This series includes daily and quarterly registers for deduction, employee, and budget transactions.

**Retention:** Quarterly registers: 4 years; Daily registers: Until superseded.

**Disposition:** Confidential Destruction

## Unemployment Compensation Claim Records

**Description:** This series documents claims submitted by former institution employees for unemployment compensation. Records may include but are not limited to: claim records; notices; reports; and records generated by the appeal of claim determinations.

**Retention:** 5 years after the end of the fiscal year in which the transaction occurred.

**Disposition:** Confidential Destruction

## Visa Scholars Records, H-1

**Description:** This series documents the temporary employment of internationals by the institution and is used to monitor compliance with Immigration and Naturalization Service regulations. Records may include but are not limited to: Petition for a Non-immigrant Worker; Labor Conditions Applications for H-1B Non-immigrant; Prevailing Wage Information Request; Application to Immigrant and Naturalization Service; documentation of requests for visa extensions; and details of work assignments.

**Retention:** 6 years after expiration of visa and extensions granted.

**Disposition:** Confidential Destruction

## Visa Scholars Records, Immigrant

**Description:** This series documents the application and approval of international scholars for permanent immigrant status. Records may include but are not limited to: Applications for Alien Employment Certifications issued by the Department of Labor, Employment, and Training Administration; advertisements for positions; curriculum vitae; transcripts; letters of recommendation; notes on all applicants for positions demonstrating that a petitioner was the best qualified candidate for an advertised position; forms indicating the institution's efforts to employ comparably qualified U.S. citizens; and interviewers' notes and memoranda.

**Retention:** 10 years following approval of permanent resident status.

**Disposition:** Confidential Destruction

## Wage and Tax Statements (W-2 Forms)

**Description:** This series provides a summary record of data reported on the annual Wage and Tax Statements (W-2) for the institutional employees.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

## Workers' Compensation Claims, Closed

**Description:** This series documents employee accidents, injuries, and medical claims.

**Retention:** 5 years and settlement of all claims due.

**Disposition:** Confidential Destruction

# Information Technology

## Computer System Documentation, Management, and Maintenance Records

**Description:** This series documents the addition, modification, maintenance, and removal of software and/or hardware from an institution computer system. Records may include: computer equipment inventories; hardware performance reports; component maintenance records; system backup reports; backup tape inventories; system overviews; operations logs; job listings; system development logs; system specifications and changes; conversion notes; dataset logs; dataset inventories; dataset record layouts; hard copies of tables; data dictionaries; programming logs; program specifications and changes; record layouts; user views; control program table documentation; program listings; instruction manuals; software purchase records; software inventories; and licenses.

**Retention:** Computer Equipment Inventories: 4 years after surplussed and all audit requirements have been met; Records related to backup: Retain for 2 backup cycles; All other records: Life of system, software, or component and all audit requirements have been met.

**Disposition:** Confidential Destruction

### Electronic Data Processing (EDP) Request

**Description:** The records document the request for a review of proposed equipment or software purchases to ensure the new equipment and software work with existing campus infrastructure.

**Retention:** 1 year.

**Disposition:** Confidential Destruction

### Forms Development Records

**Description:** This series documents the development of new or revised forms within the institution and is used to provide a history of previous forms.

**Retention:** Until superseded.

**Disposition:** Confidential Destruction

### Information System Planning and Development Records

**Description:** This series documents the planning and development of university information systems. Records may include: information technology plans; feasibility studies; cost-benefit analyses; studies and surveys; system specifications and revisions; component proposals; technical literature; and vendor literature and proposals.

**Retention:** Implemented systems: Life of system and all audit requirements have been met; Unimplemented systems: Useful life.

**Disposition:** Confidential Destruction

### Network, Computer, and Server Password and Security

**Description:** This series documents the issuance or selection of network passwords and the administration of the security and monitoring of the institution's network, servers, and computers.

**Retention:** 5 years

**Disposition:** Confidential Destruction

### System Architecture Documents and Wiring Schemas

**Description:** Records documenting the location of wiring and the design of the overall agency network environment.

**Retention:** Until superseded or obsolete, and all audit requirements have been met.

**Disposition:** Confidential Destruction

## Telecommunication System Management Records

**Description:** This series documents the creation, modification, and disposition of university telecommunications systems. Records include: equipment records; Federal Communications Commission records; repair order forms; system planning records; telecommunications maintenance contracts; and service orders.

**Retention:** For life of system and all audit requirements have been met.

**Disposition:** Confidential Destruction

## Intercollegiate Athletics

### Athletic Eligibility Records

**Description:** This series is used to provide a record of verification by intercollegiate athletics of student athletes' academic progress to the NCAA. These records include academic progress reports.

**Retention:** 10 years.

**Disposition:** Confidential Destruction

### Competition Record Forms

**Description:** This series provides a summary record of individual games and competitions and is used to comply with NCAA reporting requirements for both revenue and non-revenue producing sports.

**Retention:** 10 years.

**Disposition:** Confidential Destruction

### Game Arrangement Records

**Description:** This series is used to provide a reference record of arrangements made for and the schedules of past games. This series may include but is not limited to: team practice schedules; team position assignments/depth charts; itineraries; and bus lists.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

## Game Officials' Evaluation Forms

**Description:** This series is used to provide a record of the head coach's evaluation of judging officials' performance at individual football games. The series is also used to comply with NCAA and conference rules and regulations.

**Retention:** 1 year.

**Disposition:** Confidential Destruction

## Game Statistics

**Description:** This series documents the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to: player academic statistics; attendance figures; player training charts; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NCAA official scoring summaries; and play-by-play written reports.

**Retention:** PERMANENT.

**Disposition:** Retain in department

## Individual Athletes Records

**Description:** This series documents the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. Records may include: academic major information including performance reports, admissions verification reports, academic transcripts, and financial aid information; recruitment information documents; media articles; photographs; release of information forms; personal data questionnaires; and records of awards.

**Retention:** Historical documents: PERMANENT; All other records: 5 years after separation from the institution.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

## Insurance Records

**Description:** This series documents medical treatment services rendered off campus for practice or playing related injuries or illnesses which are eligible for partial payment by intercollegiate athletic insurance. This series may include but is not limited to: copies of policies; accident reports; annual insurance questionnaires; notes; claim forms; and payment of insurance records.

**Retention:** 7 years.

**Disposition:** Confidential Destruction

### Practice Schedule Records

**Description:** This series is used to monitor practice time for athletic teams and assist in complying with NCAA and conference rules and regulations. This series contains team rosters indicating time spent in practice, meeting, training, conditioning, and competition.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

### Scheduling Records

**Description:** This series documents competition schedules set up with other institutions by coaches and the athletic director.

**Retention:** 6 years after expiration of contract.

**Disposition:** Confidential Destruction

### Student Athletes Academic Advising Records

**Description:** This series documents academic advising of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA and conference reporting requirements. These records include: letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; and students' requests for release from athletic programs.

**Retention:** 5 years after last enrollment.

**Disposition:** Confidential Destruction

### Student Athletes Medical Records

**Description:** This series documents the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to: drug test records; annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X-rays and X-ray reports; prescription records; off campus treatment source records; insurance questionnaires; and psychological counseling records.

**Retention:** Positive drug test results: 5 years or end of eligibility, whichever is longer; Negative drug test results: 2 years; All other records: 3 years after student is last enrolled.

**Disposition:** Confidential Destruction

## Legal

### Contracts and Agreements Records

**Description:** This series documents the negotiation, execution, completion, and termination of legal agreements between an institution and other parties, and for personal/professional services. Records include a copy of the official contract or agreement, memoranda of understanding, amendments, exhibits, and addenda.

**Retention:** Contracts or agreements documenting building construction, alterations, or repair: 10 years after expiration; Other contracts and agreements: 7 years after expiration.

**Disposition:** Confidential Destruction

### Legal Case Records

**Description:** This series contains case files pertaining to subjects such as: affirmative action conflicts; salary disputes; differences in interpretation of contract language; risk management controversies; and tenure relinquishment disagreements.

**Retention:** Records of cases resulting in major policy modification, non-confidential components of cases considered historical, and summary statements: PERMANENT; All other records: 7 years after final decision.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Open Records Request

**Description:** Records include: written requests received by the office; written and dated responses issued by the office; and approval of release of the information.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

### Subpoenas and/or Production of Documents Requests

**Description:** This series documents subpoenas and/or production of documents requests from third parties.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

### Title IX

**Description:** Title IX records include: Investigations, Determinations, Recordings, Transcript, Sanctions, Remedies, Appeals, Informal Resolutions, Training Materials

**Retention:** 7 years.

**Disposition:** Confidential Destruction

## Library/Archives/Records Management

### Circulation Records

**Description:** This series documents the borrowing of circulating library materials by qualified patrons.

**Retention:** Until material is returned, fines are paid, and, if applicable, information is summarized into statistical report.

**Disposition:** Confidential Destruction

### Collections and Artifact Acquisition, Deaccession, and Exchange Records

**Description:** This series documents the acquisition, accession, use, preservation, storage, transfer, and disposition of artifacts and collections. This series may include but is not limited to: acquisition/accession log; cataloging worksheets; deed of gift; object file cards; subject file cards; numerical file cards; wildlife collecting permits; guns and weapons registration forms; condition/conservation records; reformatting logs; photographs; donor correspondence; descriptions of property; inventory lists; incoming loan agreements; background data about the collections and/or persons associated with the collections; receipt of collections documentation; donor agreements; purchasing data; preliminary descriptive inventory files; publicity records; foundation equity history reports; declaration of charitable gifts forms; copyright; citation information; and permission to publish or reproduce images forms.

**Retention:** PERMANENT.

**Disposition:** Transfer to College Archives

### Collections or Artifact Loan Records

**Description:** This series documents artifact and material loans.

**Retention:** 7 years after the termination of the loan.

**Disposition:** Confidential Destruction

### Finding Aids (Indexes) or Tracking Systems

**Description:** This record consists of indexes, lists, registers, and other finding aids used to provide access to records.

**Retention:** Until superseded.

## Inter-Library Loan (ILL) Records

**Description:** This series documents requests made of the institution for materials from outside sources and also institution requests for materials from other institutions.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

## Records Management Records

**Description:** This series document the retention and disposition of records created by the institution's offices in accordance with the institutional records retention schedule approved and authorized by the State Records Committee. This series may include but is not limited to: records destruction authorizations; records inventory worksheets; special records disposition schedules; records transmittal lists; records center pull requests, and guides to microfilmed records.

**Retention:** Record destruction authorizations: PERMANENT; Record transmittal lists, reference requests, and temporary and permanent withdrawals: Life of record; All other records: Until superseded.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Reference Request Records and Forms

**Description:** This series documents scholarly requests for information about or access to items within the institution's collections. This series may include but is not limited to: collection service request forms; dates of receipt and completion of requests; staff member handling the requests; amount of time spent on handling the requests; and disposition of the requests.

**Retention:** Electronic summaries, manuscript request forms, and copy requests: PERMANENT; Non-manuscript request forms: 1 year; Research requests files and logs: 3 years; Confidentiality agreements: 2 years; Databases and other records used to track pulls: Useful life; All other records: 5 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Registration Records

**Description:** Records used to grant borrower or viewing privileges to patrons.

**Retention:** Patron records: 2 years after expiration of membership; Guest records: 2 years after last contact.

**Disposition:** Confidential Destruction

## Serials Records

**Description:** This series documents the receipt of serials purchased by the libraries.

**Retention:** Until superseded.

## Medical Services

### Communicable Disease Records

**Description:** This series may include but is not limited to: laboratory test results; name and address of student; date; and person making referral.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

### Immunization Reporting Records

**Description:** This series is used to comply with State Health Division reporting requirements for immunizations given to patients. Records include immunization log sheets and annual reports.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

### Laboratory Test Requests

**Description:** This series documents physician orders for laboratory tests for students receiving services at the student health center.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

### Medical, Counseling, Psychological, and Psychiatric Case Records

**Description:** This series documents the medical, counseling, psychological, or psychiatric services provided to students and non-students who receive treatment and other medical services, such as vaccines, from the student health center or other health providers. This series may include but is not limited to: appointment request slips; summary sheets; test results; treatment record forms; diagnosis sheets; X-rays; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; notation of services provided and dates; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; and X-ray requisitions with narrative of radiologist.

**Retention:** 10 years or until client reaches age 28, whichever is longer.

**Disposition:** Confidential Destruction

### Patient Logs

**Description:** This series is used to log in patients who visit the student health center. It may also be used to create annual census reports and 3-year census comparisons.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

### Practitioner Schedules

**Description:** This series documents the practitioners' work schedules.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

### Student Health Center Staff Licensure Records

**Description:** This series documents the professional and regulatory issuance of credentials to individuals and facilities providing services within the student health center.

**Retention:** Until superseded.

**Disposition:** Confidential Destruction

### Student Health Insurance Records

**Description:** This series documents students' insurance coverage activity under institution insurance policies. This series may include but is not limited to: benefit explanations; payment summaries; photocopies of checks; invoices; policy change sheets; and ledgers.

**Retention:** 7 years after expiration of policy and settlement of all claims.

**Disposition:** Confidential Destruction

## Police, Security, and Safety

### Building System, Fire, and Inspection Records

**Description:** This series documents building security and fire alarm systems, including maintenance and inspection records; inspections done by various agencies such as the city building department, health

department, or fire department in the course of routine business and is used by the institution to correct and analyze safety problems and to document compliance with regulations.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

### [Criminal Incident Statistical Reports](#)

**Description:** Uniform Crime Reports.

**Retention:** Annual Report: Permanent; Other periodic reports: 5 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### [Criminal Trespass Notification Records](#)

**Description:** These records document persons who have been prohibited from entering campus properties.

**Retention:** 6 years.

**Disposition:** Confidential Destruction

### [Dispatch and Automatic Call Distribution Vector Records](#)

**Description:** This series documents dispatch of officers to both criminal and noncriminal incidents occurring on campus and the technical programming for automatic call distribution.

**Retention:** 3 years or until case is adjudicated, whichever is longer.

**Disposition:** Confidential Destruction

### [Emergency Management Operations Reports](#)

**Description:** Records documenting the type of emergency operation and the assistance provided.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

### [Evidence and Property Logs](#)

**Description:** Documents evidence, property stored for safekeeping, and found property acquired and maintained by the police dept.

**Retention:** 5 years after disposition of property.

**Disposition:** Confidential Destruction

#### Identification/Signature Card Records

**Description:** This series documents the issuance of identification cards.

**Retention:** 4 years after superseded or employee separation.

**Disposition:** Confidential Destruction

#### Incident & Accident Reports, Criminal Investigation Case Files - Non-Capital Felonies & Misdemeanor

**Description:** This series documents reports of incidents of known or suspected criminal activity, vehicular accidents, personal injury reports, and miscellaneous calls for service occurring on campus and surrounding streets. Records include incident type, date, time, case number, and details of the incident. Criminal Investigation Case Files include any documents relevant to the investigation of suspected criminal activity in order to arrest and convict the perpetrators; includes incident reports and supplements, documentary evidence, criminal history information, affidavits or other written statements, copies of subpoenas, State Crime Laboratory reports etc.

**Retention:** 20 years after settlement of case.

**Disposition:** Confidential Destruction

#### Incident & Accident Reports, Criminal Investigation Case Files - Personal Injury Cases & Vehicle Accidents

**Description:** Full Title: Incident and Accident Reports, Criminal Investigation Case Files - Personal Injury cases and Vehicle Accident Reports This series documents reports of incidents of known or suspected criminal activity, vehicular accidents, personal injury reports, and miscellaneous calls for service occurring on campus and surrounding streets. Records include incident type, date, time, case number, and details of the incident. Criminal Investigation Case Files include any documents relevant to the investigation of suspected criminal activity in order to arrest and convict the perpetrators; includes incident reports and supplements, documentary evidence, criminal history information, affidavits or other written statements, copies of subpoenas, State Crime Laboratory reports etc.

**Retention:** 7 years

**Disposition:** Confidential Destruction

#### Incident and Accident Reports, Criminal Investigation Case Files - Miscellaneous Reports

**Description:** This series documents reports of incidents of known or suspected criminal activity, vehicular accidents, personal injury reports, and miscellaneous calls for service occurring on campus and surrounding streets. Records include incident type, date, time, case number, and details of the incident. Criminal Investigation Case Files include any documents relevant to the investigation of suspected criminal activity in order to arrest and convict the perpetrators; includes incident reports and supplements, documentary

evidence, criminal history information, affidavits or other written statements, copies of subpoenas, State Crime Laboratory reports etc. Miscellaneous Reports documents incidents that may not be criminal in nature (neither felony nor misdemeanor) and miscellaneous calls for service occurring on campus and surrounding streets. These can include witness to civil actions, or emergency response, etc.

**Retention:** 3 years.

**Disposition:** Confidential Destruction

### [Incident and Accident Reports, Criminal Investigation Case Files - Capital Felonies](#)

**Description:** This series documents reports of incidents of known or suspected criminal activity, vehicular accidents, personal injury reports, and miscellaneous calls for service occurring on campus and surrounding streets. Records include incident type, date, time, case number, and details of the incident. Criminal Investigation Case Files include any documents relevant to the investigation of suspected criminal activity in order to arrest and convict the perpetrators; includes incident reports and supplements, documentary evidence, criminal history information, affidavits or other written statements, copies of subpoenas, State Crime Laboratory reports etc.

**Retention:** Capital Felonies: 50 years after settlement of case.

**Disposition:** Confidential Destruction

### [Internal Affairs Investigations](#)

**Description:** This series contains records used to investigate complaints against public safety officers.

**Retention:** Founded: 50 years after settlement of case; Unfounded: 1 year after investigation completed.

**Disposition:** Confidential Destruction

### [Security Access Records](#)

**Description:** Records documenting employee, student, and visitor access to institution facilities.

**Retention:** Cardkey and key issuance records: 5 years after superseded; Security access logs: 6 months; Securities log: 60 days.

**Disposition:** Confidential Destruction

### [Security Surveillance Records](#)

**Description:** This series includes video/audio recordings from patrol vehicles, body worn cameras, and campus security/surveillance systems.

**Retention:** Digital or analog video recordings and images from agency security systems: 30 days or until settlement of known civil claims; Video recordings from vehicles or body worn devices shall be retained from

180 days; If video is part of an investigation, accident, detainment, or use of force: 30 months or until after final adjudication.

**Disposition:** Confidential Destruction

### Traffic and Parking Citations, Citation Logs, and Warnings

**Description:** This series documents traffic and/or misdemeanor violations of law or city ordinances.

**Retention:** 2 years after final adjudication.

**Disposition:** Confidential Destruction

### Vehicle Assistance and Parking Related Records

**Description:** This series documents registration and parking of motor vehicles, motorcycles, and bicycles. This shall include, but not be limited to; vehicle registration, decal assignment, parking space assignment, release of liability waivers, and all other documents and reports related to parking and registration.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

## Property Management

### Buildings/Grounds Repair, Maintenance, Remodeling, and Construction Records

**Description:** This series documents the condition, upkeep, and routine maintenance of the institution's buildings and grounds. It also documents remodeling and construction projects with a total expenditure of less than \$100,000 over six years. This series may include but is not limited to: floor plans; specifications; layouts; sketches; maintenance agreements; work logs; and sign-in sheets.

**Retention:** As built floor plans, layouts, and specifications: PERMANENT; All other records: 7 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Capital Construction Project Records

**Description:** Records relating to the planning, administration, and implementation of capital construction projects; includes project descriptions and requirements, bid records, plan reviews, project schedules, contract changes, consultant contracts, and budgets.

**Retention:** As built floor plans, layouts, and specifications: PERMANENT; All other records: 11 years after completion of the project.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Land Inventory Records

**Description:** This series lists each parcel that has been acquired through ownership or under some form of lease agreement, includes deeds and transmittals listing the individual properties.

**Retention:** PERMANENT.

**Disposition:** Transfer to College Archives

## Leases

**Description:** This series documents agreements for the transfer of the right to possession and use of goods or property for a specified term. This series includes lease agreements and amendments or addenda.

**Retention:** 7 years after expiration of agreement.

**Disposition:** Confidential Destruction

## Real Property Records

**Description:** This series documents the real property acquired and sold by the institution. This series may include but is not limited to: contracts and agreements; title abstracts; easement details; public hearing notices and minutes; county recorder's plat descriptions; memoranda of understanding; earnest money receipts; sales agreements; and property deeds.

**Retention:** 11 years after property is sold.

**Disposition:** Confidential Destruction

## Utilities Systems Operating and Maintenance Records

**Description:** This series documents the operations and maintenance of institutional utilities. This series may include but is not limited to: equipment operations logs; mechanical reading charts; and equipment maintenance histories.

**Retention:** 5 years after disposition of equipment.

**Disposition:** Confidential Destruction

# Research

## Institutional Research Records

**Description:** This series documents the activities of institutional research projects including the review and approval process by institutional councils and boards. Research project include but are not limited to human, animal, or biosafety projects. Records may include: applications for approval by the review board; descriptions of protocol; signed consent forms; sample questionnaires or surveys; copies of grant proposals; review

summaries; scientific evaluations that accompany the proposal; approved sample consent documents; statements of findings; progress reports; reports of injuries to subjects; records of attendance; actions of the committee; requests for approval to use animals; subsequent actions on the requests; applicant case files; agendas; minutes; reports; notes; working papers; funding summaries; award letters; and applications for research support.

**Retention:** Minutes and final research reports: PERMANENT; Funding summaries and funded applications: 5 years; Records relating to research: Retain 3 years after completion of research. All other records: Retain 3 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

#### Research Grant Proposal Development Records

**Description:** This series includes the administrative activities involved in the formulation and deliberations leading to application for funding and approval or commencement of research.

**Retention:** Useful life.

**Disposition:** Confidential Destruction

#### Research Grant Records

**Description:** These records relate to funded research grant proposals and research activity associated with grant-funded projects. Examples of records include: supporting statistics, demographic data, draft proposals, suggested revisions, final proposals, forms, protocols, applications, research/activity reports, progress reports, and summary reports.

**Retention:** Final research report: PERMANENT; All other records: 7 years after the end of the grant period.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

#### Unfunded Research Grant Proposal Applications Records

**Description:** This series documents grant proposals developed by institutional units which have not been funded. This series may include but is not limited to: supporting statistics; demographic data; draft proposals; suggested revisions; and final proposals.

**Retention:** Retain 2 year after submission.

**Disposition:** Confidential Destruction

## Student Records

### Academic Standing Reports

**Description:** This series documents student academic standing, including academic deficiency and the status changes of academically deficient students. Records may include: reports containing student names, grade point averages (GPA), grade point deficiencies, and numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; and academic honors and awards.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

### Admission Program Records

**Description:** This series provides summary information relating to student admission programs that may be used for control, planning, or review.

**Retention:** Final reports: PERMANENT; All other records: 5 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Alumni and Alumni Associations Records

**Description:** This series documents the activities of alumni and alumni groups.

**Retention:** Programs, agendas, minutes, bylaws, and reports: PERMANENT; mailing lists, data cards and files for individual alumni, and membership directories: Until superseded; All other records: 5 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Class Gift Records

**Description:** This series provides a record of gifts given to the institution by classes.

**Retention:** PERMANENT.

**Disposition:** Retain in department

### College Department Student Files

**Description:** This file contains 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, official request forms for permission to change colleges within the university system, and letters of reference.

**Retention:** 5 years after graduation or date of last enrollment.

**Disposition:** Confidential Destruction

### Commencement Records

**Description:** This series documents commencement program planning and implementation at the institution.

**Retention:** 1 Commencement Program: PERMANENT; All other records: Useful life.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Course and Class Records

**Description:** This series provides instructional units with an official record of students enrolled in courses taught and documents test scores and semester end grades of each student.

**Retention:** Permanent.

**Disposition:** Retain in department

### Enrollment Reports

**Description:** This series is used to provide the President's office with a record of enrollments which may be used for planning and research. Information contained in the reports includes student names and levels, grade point averages, demographic data, and academic majors.

**Retention:** Final reports: PERMANENT; All other records: 2 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Examinations, Tests, Term Papers, Homework Records, and Grade Books

**Description:** 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; essay assignments; and grade books. This series does not include graduate student qualifying or comprehensive examinations.

**Retention:** Uncontested grade results: 1 term after completion; Contested grade results: Until resolved, whichever is longer.

**Disposition:** Confidential Destruction

### Family Educational Rights and Privacy Act (FERPA) Documents

**Description:** This series documents the process of student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Records may

include but are not limited to: requests for formal hearings; requests for release of personally identifiable information; records of disclosures made to third parties; student statements regarding hearing panel decisions; written decisions of the hearing panel; written consent of the student to disclose records; and waivers for rights of access.

**Retention:** Life of the affected record.

**Disposition:** Confidential Destruction

### Grade Change Reports

**Description:** This series documents grade changes submitted by instructors through the academic departments to the registrar.

**Retention:** 5 years after record creation.

**Disposition:** Confidential Destruction

### Graduate Student Tuition Remission Records

**Description:** This series documents the remission of tuition for courses taken by eligible graduate students, such as research and/or teaching assistants.

**Retention:** 8 years.

**Disposition:** Confidential Destruction

### Graduate Students Denied Admission/No Show Records

**Description:** This series documents the application and evaluation process for students applying to enter an instructional unit's academic graduate program who are denied admission or who were admitted but failed to enroll or withdrew. Records may include but are not limited to: applications for admission to graduate school forms; departmental action forms; standardized examination reports; foreign student financial documentation; departmental or college supplemental application forms; departmental or college student application status reports; letters of recommendation; resumes; and transcripts.

**Retention:** 3 years after application term

**Disposition:** Confidential Destruction

### International Student Records

**Description:** This series documents institution assistance to international students who have applied for admission to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to: letters of inquiry from prospective students; official replies to inquiries; copies of visas; scholarship information; institution

admissions forms; graduate school applications; transcripts of previous college work; grade reports of prior college work; grade reports from institutional courses; international student advisors' notes; degree completion certificates; explanations for student withdrawals; and recommendations and evaluations of students.

**Retention:** 5 years after graduation or date of last attendance but at least 1 year after final notice to Immigration and Naturalization Service; Non-admitted applicant records: 2 years.

**Disposition:** Confidential Destruction

### Internship Program Records

**Description:** This series is used to provide a record of the administration of student internship, practicum, and cooperative education programs. Records may include but are not limited to: applications for internships internal and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; and proposed institution listings.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

### Month-to-Month Transaction Reports

**Description:** This series documents student loan activity on a monthly basis by transaction type.

**Retention:** 2 years.

**Disposition:** Confidential Destruction

### National Testing Records

**Description:** This series provides a record of the services rendered to clients by administering tests required of students seeking admission to various programs or seeking to substitute already acquired knowledge for formal college courses. Records may include but are not limited to: testing rules and regulations; rosters of test takers; seating charts; supervisors' reports; and vouchers for payment of testing. This series does not include test scores.

**Retention:** 3 years after testing date.

**Disposition:** Confidential Destruction

### Pell Grant Reports

**Description:** This series consists of copies of summary reports submitted to the Pell Grant Scholarship program on a routine basis. Reports summarize money awarded, received and disbursed, the balance remaining, and dates.

**Retention:** 5 years after audit.

#### Placement Records

**Description:** This series documents the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to: credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets; resumes; and college interview forms.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

#### Placement Survey Records

**Description:** This series documents the results of a placement survey conducted every two years of recent graduates. Records may include but are not limited to: reports and questionnaires that provide the following information on individual alumni: career status or job title; continuing education; geographic location; source of finding employment; relationship of employment to major; salary; computer training needs; and number of years enrolled.

**Retention:** Reports: PERMANENT; Questionnaires: 3 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

#### Services to Students with Disabilities (SSD) Records

**Description:** This series documents student participation in the Services to Students with Disabilities Program. Records may include but are not limited to: health professional evaluation reports; recommendations for student applicants; high school transcripts and academic work-sheets; autobiographical essays; copies of applications for admission; copies of notices of admission; special admissions applications checklists; questionnaires; and physicians' statements and letters of recommendation.

**Retention:** 5 years after last contact.

**Disposition:** Confidential Destruction

#### Student Academic Records

**Description:** These records consist of the official student record of individual students for their period of enrollment at a university and include all academic documentation for individual students. Records may include but are not limited to: transcripts; narrative evaluations, competency assessments, and academic action; petitions for exemption from institution regulations and procedures; applications for withdrawal from the institution; standardized examination reports; letters of recommendation; admissions applications; notices of admission; standardized placement and evaluation exams; transcripts; requests for transfer of credit; statements of completion of requirements for degree; major department/degree change requests;

assignments of advisor; compositions of dissertation/thesis committee and any changes thereof; certifications of transferred courses; grade reports; course waiver requests; removal of incomplete grades forms; year time-limit appeal records; oral and written exam results; petitions or letters requesting exemption from institution regulations or procedures; advising checklists; official graduation audits; program advisors' reports showing progress towards academic degrees; awards; student enrollment in courses; and changes in enrollment grade reports; registration forms; registration change forms (add/drop forms); withdrawal forms; application for re-admission forms; independent study approvals; grading basis change forms; and name change forms.

**Retention:** Transcripts: PERMANENT; All other records: 5 years after date of last attendance.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

### Student Activity Reports

**Description:** 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.

**Retention:** Until superseded or obsolete.

**Disposition:** Confidential Destruction

### Student Admissions Records

**Description:** This series documents the application process for individuals seeking admission to the institution. Records may include but are not limited to: acceptance letters, advanced placement records, applications for admission, entrance exam reports, letters of recommendation, medical records, readmission forms, recruitment materials, test scores, transcripts from other colleges, and transcripts from high school.

**Retention:** Records of applicants who enroll: 5 years after graduation or date of last attendance; All other records: 1 year after application term.

**Disposition:** Confidential Destruction

### Student Advising Records

**Description:** 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.

**Retention:** 5 years after graduation or date of last attendance but at least 1 year after final notice to Immigration and Naturalization Service.

**Disposition:** Confidential Destruction

## Student Conduct Records/Disciplinary Actions Records

**Description:** This series documents academic dishonesty and conduct violations among students. Records may include but are not limited to: incidents reports; final reports; evidence; notifications of allegation; Timely Notice Forms; Conduct-Pending, Conduct-Restitution, and Suspension Lists; Quarterly Security Reports; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; and appeals documentation.

**Retention:** 5 years after graduation or date of last attendance but at least 1 year after final notice to Immigration and Naturalization Service.

**Disposition:** Confidential Destruction

## Student Development Transcripts Records

**Description:** Series documents students' participation in university clubs, organizations, honor societies, and special academic programs such as the Study Abroad Program; volunteer service in community organizations; and honors and awards received.

**Retention:** Transcripts: PERMANENT; All other records: 5 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

## Student Grievance Records

**Description:** This series documents grievance brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. Records include: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; and appeals documentation.

**Retention:** 5 years after graduation or date of last attendance.

**Disposition:** Confidential Destruction

## Student Loan Cash Input Transaction Lists

**Description:** This series documents the repayment of student loans on a daily basis and is used to apply the loan payments to the individual student accounts. This series includes daily listings of loan payments received.

**Retention:** 4 years.

**Disposition:** Confidential Destruction

## Student Loan Check Requests Lists and Payment Coupons

**Description:** This series documents loan disbursements made to students and payments made by loan holders. This series consists of quarterly lists of issued loan checks and payment coupons that accompany each quarterly or monthly payment made to the student loan office.

**Retention:** 4 years.

**Disposition:** Confidential Destruction

## Student Recruitment Records

**Description:** 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; and academic transcripts.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

## Student Statistical Reports

**Description:** This series documents student status and enrollment at the institution. Records may include: specialized listings and statistical reports pertaining to departmental and college registration, course changes, add/drops, geographical distribution of students, student age and gender data, mortality of classes, student transfers from other schools, student body grade point averages and GPA's of living groups, veterans enrollment, and reports documenting student and enrollment by term.

**Retention:** Summary and annual reports: PERMANENT; All other records: 3 years.

**Disposition:** Permanent Files – Retain in department; All other files – Confidential Destruction

## Theses and Dissertations

**Description:** This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees.

**Retention:** PERMANENT.

**Disposition:** Permanent Files – Transfer to College Archives

## Transcript Hold or Encumbering Authorization Forms

**Description:** This series documents holds on transcripts and academic reporting information placed by the institution. This series consists of forms authorizing the holding of academic records and information until the subject of the academic record takes a specific action.

**Retention:** Until release of hold.

**Disposition:** Confidential Destruction

### Transcript Request Forms

**Description:** This series provides a record of students' requests for transcripts.

**Retention:** Requests for official transcripts: 6 months; Requests for unofficial transcripts: 1 month.

**Disposition:** Confidential Destruction

### Undergraduate Degree Audit and Application for Graduation Records

**Description:** This series documents student completion of degree requirements. Records may include but are not limited to: work sheets; transcripts; transfer course evaluations; and official graduation audit forms.

**Retention:** 5 years after last enrollment.

**Disposition:** Confidential Destruction

### Work Study Program Administrative Records

**Description:** Series documents the administration of the Work Study program at the institution.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

## Common

### Equipment and Vehicle Inventory and Maintenance Records

**Description:** This series documents the location, transfer, maintenance, service, repair, and disposition of state-owned equipment and vehicles. This series may include but is not limited to: vehicle title records; equipment inventory lists; physical inventory information cards; depreciation schedules; equipment inventory forms; lost/stolen property reports; damage or loss of state property claim; equipment transfer forms and memos; property disposition requests; periodic equipment lists; returned departmental equipment inventory lists; service contracts; charge call bills; fax activity reports; service logs; computer system architecture and wiring schema records; and accountability and responsibility statements.

**Retention:** Annual Vehicle Inspection Records: 3 years after the vehicle is disposed; Depreciation schedules: 4 years; All other records: 5 years after disposition of equipment.

**Disposition:** Confidential Destruction

## Equipment Loan Agreements Records

**Description:** This series documents the institution's lending or borrowing of equipment.

**Retention:** 7 years after termination of agreement and return.

**Disposition:** Confidential Destruction

## Food, Alcohol, Consumable, and Other Inventory, Ordering, and Delivery Records

**Description:** This series is used to provide the institution with a record of the dollar value of food, alcohol, consumable, and other stock (including merchandise, publications, gasoline, oil, rock, and gravel) at the end of each month for planning, ordering, and fiscal accounting purposes. This includes documentation of vendors and subcontractors and requests and delivery information.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

## Publication Records

**Description:** This series includes publications produced by individual institution offices. This series may include but is not limited to: printing specifications, costs of productions, art work, samples, mock-ups, drafts, final publications, and websites.

**Retention:** 1 copy of final publication: PERMANENT; All other records: 5 years.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

## Room Change Requests Form

**Description:** This series documents room assignments and room remodeling. Information on the change request forms may include but is not limited to: the building and room; the reason for the change; who requested the change; who approved the change; date the change was requested; source of funds; special approvals needed; and date approved.

**Retention:** 5 years.

**Disposition:** Confidential Destruction

## Significant Correspondence

**Description:** This series includes communications that document formal decisions regarding significant matters.

**Retention:** PERMANENT.

**Disposition:** Permanent Files – Transfer to College Archives

### Subject Files

**Description:** Significant/Historical Subject Files document significant events and/or the development of administrative structure, policies, procedures, and the historical development of the office. Other Subject Files do not.

**Retention:** Significant/Historical Subject Files: PERMANENT; Other Subject Files: Useful life.

**Disposition:** Permanent Files – Transfer to College Archives; All other files – Confidential Destruction

### Telephone Complaints/Fraud Reports

**Description:** This series documents the investigation of complaints of telephone misuse.

**Retention:** 5 years after resolution.

**Disposition:** Confidential Destruction

### Transitory Correspondence

**Description:** This series includes records and communications received or sent that do not document decisions regarding significant matters.

**Retention:** Useful life.

**Disposition:** Confidential Destruction

### Transitory Records

**Description:** This series includes records that do not document decisions or contain significant information about an institution's programs, fiscal status, or operations. Records include, but are not limited to, advertising circulars, drafts and worksheets, desk notes, reference files, and other records of a preliminary or informational nature.

**Retention:** Useful life.

**Disposition:** Confidential Destruction

### Utility Locate Records

**Description:** This series documents the notification of persons anticipating digging on campus property who need to know the locations of underground utility lines.

**Retention:** 2 years.

**Disposition:** Confidential Destruction

### Visitor Records

**Description:** This series documents public tours or individual visits. The series may include but is not limited to: weekly visitor statistics; sign-in sheets; and guest books.

**Retention:** 1 year.

**Disposition:** Confidential Destruction

### Work Orders Records

**Description:** This series documents requests and authorizations for needed services and/or repairs to institutional property and equipment. It may also be used as a cost reference for future jobs.

**Retention:** 5 years.

**Disposition:** Confidential Destruction