



WESTERN UNIVERSITY OF HEALTH SCIENCES

RECORDS RETENTION SCHEDULE

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ADMINISTRATIVE RECORDS

Accreditation Records (institutional)

Records document the process of accreditation for the institution by accrediting bodies. Records may include self-evaluation reports, statistical data, working papers, final reports sent to the accreditation organizations, statistical reports, WASC evaluation report and related documents and correspondence.

Retention: a) 1 review cycle for WASC accreditation records. (WASC maintains records)
 b) Permanent for department or program accreditation. Transfer the record copy to the University Archives after 5 years.

Authority: Maintenance of Accreditation Records [§602.15(b)(1)].

Accreditation Records (professional)

Records document the process of accreditation for the colleges by external accreditation agencies. Records include statements of mission, self-evaluation reports, final reports to the accreditation organization, statistical data, working papers, accreditation organization evaluation report, and related documentation and correspondence.

Retention: Permanent for self-evaluation reports and final accreditation reports. Transfer to the University Archives after 2 accreditation cycles.

Activity Reports (routine)

Records document periodic reports by individuals, offices, and departments. Records include administrative activities, goals and objectives achieved, and statistical reports.

Retention: 2 years or until superseded.

Activity Reports (outside)

Records document outside activities and financial interests related to their field of professional work to comply with federal, state, and university policy. Records may include the use of an electronic form that faculty and academic staff must submit even if it only indicates that there are no outside activities to report.

Retention: 2 fiscal years after completion of review.

Addresses and Statements

Records document speeches and statements written and delivered by institutional administrators, faculty, and staff in the course of business. Records may include texts, slide presentations, audio or video recordings, drafts; source materials, and working papers.

Retention: Retain until no longer needed. Transfer to the University Archives for appraisal.

Administrative Meeting Records

Records document the meetings composed exclusively or a mixture of faculty, staff, administrators, managers, and specialized and task oriented sub-committees. These meetings may concern matters of institutional policies and procedures, space planning, and assessments of future needs. Records may include meeting minutes and agendas, reports, working papers, and related documentation.

Retention: a) Permanent for minutes, agendas, and reports; transfer a copy to the University Archives.
 b) 4 years for all other records; destroy.

Administrative Program Review

Records associated with campus periodic reviews of administrative units.

Retention: 1 cycle; transfer to the University Archives.

Advisory Board Records (non-policy setting)

Records document the activities of boards and councils that function in an advisory capacity. Boards and councils may have as their charge highly specific or broad areas of concern and include members from outside the institution. Records may include meeting minutes, agendas, reports, notes, working papers, audio recordings, transcriptions, and related documentation and correspondence.

Retention: a) Permanent for minutes, agendas, reports, and correspondence.
 b) 3 years for all other records; destroy.

Annual Report

Records consist of summaries of accomplishments, goals, statistics, fiscal status, and any supplementary documentation to support such reports (printed and bound or electronic).

Retention: Permanent. Transfer 1 copy to the University Archives at the end of the reporting period.

Appointments and Event Calendars

Appointment calendars documented day-to-day activities of a department, office, or staff member. Event calendars document events at a department, office, college, or university campus. Appointment and event calendars may include but are not limited to desk calendars, daily planners, appointment schedules, and electronic calendars systems.

Retention: End of the calendar year or until no longer needed; destroy.

Awards

Records document the process of selecting faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. Records include but are not limited to applications, nomination letters, eligibility terms and selection criteria, recommendations, transcripts, award programs, notification or denial letters, summary lists of winners, newspaper clippings and press releases, award history, and related documentation and correspondence.

Retention: a) Permanent for eligibility terms and selection criteria, information and funding sources, award programs, summary lists of winners, and newspaper clippings and press releases.
b) 1 year for all other records; destroy.

Board of Trustee Records

Records document activities of the board. Records include but are not limited to meeting notices, lists of board officers and members, information of board functions, agendas, meeting minutes, annual reports, and related correspondence.

Retention: Permanent.
Authority: Cal. Corp. Code §1500; §8320

Commencement Records

Records document commencement program planning and implementation. Records may include commencement attendance forms, candidate lists, correspondence and invitations, commencement committee minutes and planning information, commencement speeches, programs, photographs, videos, and related documentation and correspondence.

Retention: Permanent; transfer to the University Archives for appraisal after 5 years.

Committee Records

Records document the activities of standing and ad hoc committees, task forces, advisory 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 and faculty senate committees.

Retention: a) Permanent for minutes, agenda, reports and correspondence; transfer to the University Archives.
b) 3 years for all other records.
c) Records of confidential proceeds should be transferred to the University Archives; faculty related matters will be kept by the University Archives for seven years and student related matters will be kept for eleven years.

Conflict of Interest Records

Records document potential conflicts of interest involving employees. This series may include but is not limited to disclosure forms and related documentation and correspondence.

Retention: 3 years.

Conference Records (university sponsored)

This record series documents conferences hosted by a department or college. Records include but are not limited to registration materials; correspondence, mailing lists, financial reimbursements, public relations materials, facility requests, catering information, and related documentation.

Retention: 3 years; transfer to the University Archives for appraisal.

Contracts and Agreements Records

Records document the negotiation, execution, completion and termination of legal agreements between an agency and other parties. Records may include but are not limited to the official contract, lease, or agreement; leases; amendments; exhibits; addenda; legal records; contract review records; and related documentation and correspondence. (Records do not include property records.).

Retention: 7 years after expiration; destroy.

Correspondence Files (ephemeral)

Records consist of communications received or sent which do not contain significant information about an institution's programs. Records may include but are not limited to advertising, circulars, drafts and worksheets, desk notes, memoranda, and other records of a preliminary or informational nature.

Retention: Until read; destroy.

Correspondence Files (general)

Records document communications received or sent which do not contain significant information about an institution's programs. Records may include but are not limited to letters, memoranda, transmittals, acknowledgements, community affair notices, routine requests for information, enclosures and attachments.

Retention: 1 year; destroy.

Correspondence Files (administrative)

Records document communications received or sent which contain significant information about the institution's programs and policies. Records include but are not limited to letters, memoranda, transmittals, notes, enclosures, and attachments.

Retention: 5 years; transfer to the University Archives for purging.

Events Planning

Records document campus events planning and arrangements, such as convocations, White Coat ceremonies, Honors Day ceremonies, awards ceremonies, dedication ceremonies, socials, and funding raising dinners, and similar celebratory events. Records may include reservation agreements, room reservations lists, catering services orders, purchase and supply records, financial and billing records, budgets, schedules of activities and speakers, registration and attendance lists, mailing lists, programs, publicity materials, photographs and videos, final reports, correspondence, and related documentation and correspondence.

Retention: a) Permanent for reports, publicity materials, programs; speaker information, photographs and videos, and attendance information; transfer to the University Archives for appraisal after 5 years.
b) 5 years for all other records; destroy.

Donor Profile Records

Retention: Permanent.

Fundraising Records

Records document institutional solicitation campaigns, efforts to raise fund to support program functions and facilities. Records may include individual benefactors and prospective donor files, public relations records, event planning and arrangement records, history reports, pledges, and related documentation and correspondence.

Retention: 5 years after end of campaign period; transfer to the University Archives for appraisal.

Gift Records

Records document potential or realized private, corporate, or public agency funding to the University, including endowments and trusts. Records may include but are not limited to award guidelines, letters and agreements of gifts, copies of bequest instruments and wills from individuals or estates, financial statements and reports, including records of fund disbursements, and related documentation and correspondence.

Retention: a) Permanent for letters and agreements of gift, copies of bequest instruments, wills and related documentation and correspondence.
b) 5 years for all other records.

Gift Receipts Records

Retention: 6 years; destroy.
Authority: 26 USC § 6501

History Records

Records document the historical development of the institution, units within the institution, and organizations associated with the institution. Records may include newspaper clippings, photographs, published and unpublished historical sketches, statistics, ephemera, and related documentation and correspondence.

Retention: Permanent; transfer to the University Archives.

Incorporation Records

Records establish the institution as a legal body or entity.

Retention: Permanent.

Institutional Planning Records

This series documents the college's role in the development of short-term or long-term plans for the institution. Records may include but are not limited to instructions from the president and/or provost

explaining the nature and purpose of the requested strategic planning effort, internal planning committee materials, statements of objectives and goals as developed by college or unit chairs and administrators, proposals, reports, surveys, mission statements, informational materials, working papers, and related documentation and correspondence.

Retention: a) Permanent for final planning reports, proposals, goal and objective statements, and instructions and explanations of processes; transfer to the University Archives when no longer needed.
 b) 20 years for all other records.

Lectures and Lecture Series Records

Records document the development of special lectures and lecture series devoted to a variety of topics and disciplines sponsored by the institution and colleges. Records include but are not limited to committee notes, planning materials, information on funding, financial support and honoraria records, patron information, programs and announcements, catering arrangements, news releases, photographs, video tapes, and related documentation and correspondence.

Retention: a) Permanent for committee notes, planning materials, programs and announcements, news releases, and photographs; transfer permanent records to the University Archives.
 b) 5 years for all other records.

Legislative Relations Records

This record series documents efforts to review and plan institutional positions on impacting legislative actions. Records may include but are not limited to bill tracking reports, notes, copies of pending or approved legislation, working papers, and related documentation and correspondence.

Retention: 2 years; destroy.

Lobbyist Records

Records consist of activities of university individuals engaged in lobbying the state or federal government. Records include lobbyist registration, termination, expenditures, reports, and supporting documentation.

Retention: 5 years.

Mailing Lists

Records consist of mailing lists used for solicitations, invitations, and distributions.

Retention: Until updated or superseded.

Meeting Minutes and Agendas

Records document the order of business and proceedings of meetings held by college committees, departments, offices, and other units. These meetings may concern routine matters of procedure and deal with such topics as program development, administrative and personnel management, fiscal planning, and

current projects or concerns. Records may include meeting notes, minutes, reports, working papers, agendas, and related documentation and correspondence.

Retention: Determined by the creator; transfer to the University Archives for appraisal.

Organizational Charts

This record series consists of the records of the official organizational structure of each college and department.

Retention: Until organizational chart is superseded; transfer to the University Archives.

Pledge agreements

Retention: a) Permanent for fulfilled pledges.
b) Until internal audit or 4 years whichever comes first for pledge agreements written off.

Policies and Procedures

Records consist of internal instructions, rules and guidelines for current policies and procedures that apply to all university organizations. Each policy is established and maintained by a Policy Contact who is responsible for its clarification, revision, withdrawal, suspension, or integration with another policy.

Retention: a) As long as the policy is in effect.
b) Then 10 years after withdrawal/revision.

Presidential Records

Records include Delegations of Authority, calendars, schedules, videos, office subject files, and correspondence.

Retention: Until no longer of administrative value; transfer records of historical value to the University Archives.

Presidential Search Records

Records consist of committee procedures and decisions in the recruitment for President of the institution. Records may include lists of committee members, correspondence regarding planning for the search, the development of criteria for the selection of a candidate, job/position description, and related materials. Materials submitted by an applicant are not included.

Retention: Permanent; transfer to the University Archives.

Professional Membership Records

Records document institution-paid individual memberships and activities in professional organizations. These records may include but are not limited to applications for membership, certification of membership, documentation of activities, and related correspondence.

Retention: 6 years; destroy.

Programs and Invitations

This record series consists of programs sponsored by the university, colleges, and departments. These records also include invitations, mailing lists, catering information, flyers and newspaper items.

Retention: Until no longer needed; transfer to the University Archives for appraisal.

Real Property Records

Records document the real property acquired and sold by the institution. Records may include but are not limited to purchase agreements, title abstracts, easement details, public hearing notices and minutes, county plat recorder's descriptions, memoranda of understanding, earnest money receipts, mortgages, property deeds, bills of sale, working papers, and related documentation and correspondence.

Retention: Recommended permanent or as determined by the needs of the University.

Recorded Events

Records document institution activities, events, performances or recitals, staged or recorded by a campus unit, Special Events, or the Media Department. Records consist of audio and still and moving images, in analog and digital formats.

Retention: Permanent; transfer to the University Archives.

Reorganization Documentation

This record series consists of documents showing organizational changes within the college or university, including files of significant addition, deletion, or transfer of administrative, functional or regulatory responsibilities, etc.

Retention: 2 years after completion; transfer to the University Archives.

Signature Authorizations

Records document the certification of the institutions' employees who are authorized to sign fiscal and contractual documents which serve as aids for management control over expenditures. This series may include but is not limited to authorization date, name, sample signature, position data, remarks, and conditions.

Retention: 6 years after authorization expires.

Subject Files (alphabetical)

Records document the activities of academic and operational departments and offices. These files are usually an assembled mix of transitory and permanent document types about a topic, project, or office activity for the academic year. These records include but are not limited to correspondence, reports, memoranda notes, and announcements incoming and outgoing materials.

Retention: 3 years or until superseded or obsolete; transfer to the University Archives for review if the files contain information of historical value.

Surveys and Questionnaires

Records document activities which include the completion of surveys and questionnaires and compilation of special studies for professional or academic associations. Records may include but are not limited to working papers, questionnaires, survey forms, study designs, reports, and related documentation and correspondence.

Retention: a) Permanent for final reports and study designs.
 b) 3 years for all other records.

Telephone Logs

Telephone call data, such as originating station, destination, start and ending times, and transmission characteristics, is collected from a telecommunications system.

Retention: 6 months or until no longer useful.

Trademarks Licensing Records

Records document the legal authority to use the logos and other symbols constituting the registered trademarks of the institution.

Retention: 6 years after expiration of licensing agreement; destroy.

Visitor Logs and Guest Books

Records document guests and visitors in attendance at events, special presentations, and academic functions where individuals are requested to sign-in or otherwise announce their presence. Names, addresses, and comments provided in guest books are frequently recorded and collated for statistical purposes regarding visitors to the event or function.

Retention: Until no longer useful; transfer to the University Archives for appraisal.

Workshop Records

Records document materials used for workshops. Records may include outlines, drafts, Power-Point and video presentations, announcements and flyers, sign-in sheets, evaluation sheets, correspondence, and related materials.

Retention: 2 years.

ADMISSIONS RECORDS

Retention source authority: Records Management Best Practice and the American Association of Collegiate Registrars and Admissions Officers (AACRAO).

Admission Letters

Records document university's response to applications to the university. Records may include notification letters sent to admitted students or transfer students and denial or waitlist notices to applicants not enrolled.

Retention: a) 5 years after graduation or last attendance.
 b) 1 year from date of application for students not enrolled.

Admissions Reports (enrollment statistics)

Records document summary information relating to student status and enrollment. Records may include specialized listings and statistical reports, working papers, drafts, final reports, and related documentation and reports.

Retention: a) Permanent for final reports; transfer a copy of the final report to the University Archives.
 b) 5 years for all other records.

Applications for Admission

Records document the application process for individuals seeking admission to the institution. Records may include but are not limited to admission applications, academic transcripts from other institutions, test scores, letters of admittance, and related documentation and correspondence.

Retention: a) 5 years after date of graduation or last attendance.
 b) 3 years from date of application for students not accepted.
 c) 1 year not enrolled, or incomplete.

Correspondence with or concerning enrolled/not enrolled students

This series consists of correspondence in any format between Enrollment Services staff within units or with students relevant to the admission of the student.

Retention: a) 5 years from date of graduation or last attendance.
 b) 1 year from date of application for students who did not enroll.

Enrollment Changes

Record of student add/drop or withdraw from courses after the registration deadline.

Retention: Date of submission +1 year.

Enrollment Reports

Reports document enrollments which may be used for planning and research information, such as grade point averages, demographic data, and academic majors. Records may include working papers, final reports, enrollment rosters, class size, and related documentation.

Retention: Permanent for final reports; transfer to the University Archives after 4 years.

Entrance Examination Results

Student scores from standardized tests, include but are not limited to GRE, MCAT, DAT, and OAT.

Retention: a) Date of graduation or last attendance +5 years.
b) Date of application +1 year for students who did not enroll.

Interviewer/admissions committee evaluations

Records document the interviews of selected students for admittance to the college.

Retention: 1 year after the students' graduation date.

Letters of Recommendation

Records include letters of recommendation in any format required by the college or provided by the applicant as additional information to admission officers.

Retention: a) Admissions purges LORs before file is transferred to the Registrar.
b) Keep Electronic Residency Application Service (ERAS) letters of recommendation 1 year after ERAS cycle closes.

Students Denied Admission/No Show Records

Records document the application and evaluation process for students applying to the school who are denied admission or who were admitted but failed to enroll or withdraw. Records include applications for admission, MCAT, GRE and other test scores, departmental action forms, college student application status reports, resumes, transcripts, letters of recommendation, and other related documentation and correspondence.

Retention: a) 3 years after denial of admission notification.
b) 1 year after notification of admission if applicant fails to enroll.

Student Recruitment Records

Records document efforts of the institutional units to recruit students based on disadvantaged status, academic performance, and other criteria. Records may include prospects lists, interview and conversation notes, photographs, personal information forms and resumes, test scores, academic transcripts, and related documentation and correspondence.

Retention: 5 years.

Transcripts from other institutions

Transcripts from other institutions used to support the admissions process.

Retention: a) Date of application +5years.
 b) Date of application +1 year for students not enrolled.

Tuition Fees and Schedules

Retention: Permanent; transfer to the University Archives after years.

ALUMNI RECORDS

Alumni Records

Records document the activities of an institution or college's alumni. Records may be used to create a network of support to track alumni, monitor their achievements and recognitions, and to create statistics. Records may include but are not limited to membership lists, reunion class files, directories, annual gatherings materials, degree recipient lists, class officer lists, notes, memoranda, and related correspondence concerning general alumni affairs.

Retention: Permanent.

Alumni Association Board Records

Records document the activities of the alumni association board of directors. Records may include but are not limited to agendas, minutes, by-laws, reports, notes, working papers, and related documentation and correspondence.

Retention: a) Permanent for minutes, reports, and policy/historical correspondence, transfer permanent records to the University Archives.
 b) 5 years for all other records; destroy.

Alumni Mailing List Records

Records document information on the whereabouts of alumni for information requests and mailing purposes. Records may include mailing lists and related documentation and correspondence.

Retention: Until superseded or obsolete; destroy.

Class Gift Records

Records document gifts given to the institution by senior classes. Records may include but are not limited to gift lists, gift histories, record of gift placement arrangements, and related documentation and correspondence.

Retention: Permanent for gift list and histories.

CURRICULUM AND INSTRUCTION RECORDS

Academic Calendars

Retention: Permanent.

Academic Program Administrative Records

Records document the daily and routine administration of academic programs of the colleges. Records may include registration reports, add-drop analyses and reports, course enrollment summaries by class, graduation summaries, placement information, budgets, planning and working papers, program reviews, and related documentation and correspondence.

Retention: 2 years.

Book Order Records

This series documents books ordered for courses taught in the department. Records may include but are not limited to the institution textbook request forms and other related documentation and correspondence.

Retention: 1 year.

College Catalogs

Official institutional course catalog in paper or electronic format providing overview of admissions policies, degree and program requirements, and course offerings for each college. Information in the individual catalogs includes program names and descriptions, course names and descriptions, course alphanumeric course designations, credits per course, and related program and course information. This series may include but is not limited to catalog, working papers, mock-ups, and related documentation and correspondence.

Retention: Permanent; transfer a copy to the University Archives.

Class Scheduling Records

Official list of courses offered each academic year by academic departments, including class schedules with information regarding course numbers, names and credits, instructors, times, and course location. This series may include the final edition of the schedule of classes, requests for department class offerings, requests for class changes, working papers, and related documentation and correspondence.

Retention: Permanent for official copy of schedule of classes; transfer to the University Archives.

Course Proposal Records

Records document the development of new departmental courses and related curricula that are currently under consideration for adoption. Records may also document requests to drop courses from the curriculum and/or to change the names of courses, the number of credits, or the prerequisite courses.

Records may include but are not limited to curriculum committee meeting minutes, curriculum proposals, and related documentation and correspondence.

Retention: a) Permanent for committee meeting minutes and curriculum proposals.
 b) 5 years for all other records.

Course Records

Records document departmental course offerings and individual course contents. Records may include syllabi, course descriptions, course outlines, course summaries, course requests and proposals, curriculum approval lists, lists of classes by term, reading lists, course announcements, handout materials, and related documentation and correspondence.

Retention: 3 years or until superseded or obsolete.

Honors Lists

Lists of students who have achieved academic distinction, including but not limited to Dean's List.

Retention: Permanent for Honors Day Program; transfer to the University Archives.

Lecture Recording Records

Recorded classroom lectures and instructor recorded materials.

Retention: 3 years.

Media Equipment and Production Records

Records document the purchase, receipt, and subsequent scheduling and distribution of media productions and/or equipment.

Retention: 4 years.

Outcomes Assessment

Retention: 2 years.

Program Development and Review Records

Records document the planning and discussions relating to the implementation of new degree programs and any major reorganizations or changes to established programs. This series may include but is not limited to task force minutes, final reports, working papers, letters of support, review agendas, faculty status reports, reviews of individual degree programs by campus and off campus sources, and related documentation and correspondence.

Retention: a) Permanent for final reports, minutes, and reviews; transfer to the University Archives.
 b) 10 years for all other records.

Room Scheduling Records

Records document room assignments for classes offered during the year. This series may include but is not limited to room assignment lists and related documentation and classroom technology requests.

Retention: 1 year.

Student Handbooks

Record documents the requirements, policies, and offerings of specific instructional units for use by current students. This series contains information or policies on fields of study, faculty, academic requirements, student conduct, and the evaluation process.

Retention: Permanent; transfer a copy to the University Archives.

Transfer Equivalences

Aggregate transfer credit equivalency information, comparing course subject area, content, difficulty, level, and credit hours collected to evaluate and determine transferable course credits from other institutions.

Retention: Until superseded.

ENVIRONMENTAL HEALTH AND SAFETY RECORDS

Chemical, Hazardous, and Infectious Waste Disposal Records

Records document the receipt, shipment, and disposal and abatement of toxic, infectious, and hazardous waste on campus. Records include but are not limited to inspection forms, drum packing sheets, Uniform Hazardous Waste Manifest forms, Certificates of Disposal from vendors, land disposal notifications forms, exposure to asbestos records, waste disposal records, and related documentation and correspondence.

Retention: 30 years; destroy.

Chemical Incident Records

Records document the investigation of hazardous chemical material accidents or incidents including releases. Records may include but are not limited to incident reports and related documentation and correspondence.

Retention: 30 years after employee or student separation; destroy.

Crime Statistics/Security Records

Records document reports of suspicious and criminal incidents at the institution. Records may include incident reports, warnings, copies of police or other law enforcement agencies records, notes, and related documentation.

Retention: 3 years from disclosure.

Emergency Response Plans and Procedures Records

Records document procedures and to be followed in the event of emergency or natural disaster.

Retention: Until superseded or obsolete; destroy.

Environmental Regulations Records

Records document the institutional compliance with environmental laws and guidelines of federal, state, or local governments. Records may include but are not limited to communications with the Environmental Protection Agency, Air Quality Reports, Waste Water Discharge Permit Applications, Waste Water Discharge Permits, Water Quality Reports, Notices of Violation, Notices of Non-compliance, and related documentation and correspondence.

Retention: 10 years; destroy.

Environmental Remediation Records

Records contain contractor studies and related documentation and correspondence.

Retention: 25 years; destroy.

Fire, Internal Disaster and Evacuation Drill Records

Records Document the response to any alarm that is activated on campus.

Retention: 5 years; destroy.

Inspections Records

Records document inspections and measurements done by various agencies such as the city building department, health department, labor department, or fire department in the course of routine business. Records may include but are not limited to inspection and testing sheets, reports acknowledging compliance with regulations, authorizing signature, and related information.

Retention: 5 years or until reinspected for extinguishing systems.

Hazardous Waste Manifests

Records document the response to any alarm that is activated on campus.

Retention: 3 years; destroy.

Authority: CCR Title 22 §66262.40(a) and §66264.71(b)(6)

Hazardous Materials Shipping Papers Records

Records document shipper requirements and receiver requirements.

Retention: a) 2 years after the material is accepted by the initial carrier.
b) 1 year for receiver requirements.

Authority: 49 CFR §§172.201(e), 174.24, 176.24, 177.817(f)

Inventory, Use, and Control Records

Records document the institution's inventory, use, and control of hazardous-chemicals and radioactive materials.

Retention: 30 years; destroy.

Noise Monitoring Records

Records document measurement of noise levels in the work environment.

Retention: 5 years.

Authority: OSHA

Notice of Violation and Consent Orders

Records consist of all correspondence, reports, and consultant reports

Retention: 50 years; destroy.

Authority: 40 CFR §265.117(a)(1)

Safety Training Records

Records document employee training and certification such for equipment operation, hazardous material handling and emergency procedures, and CPR and first aid training. Records may include but are not limited to sign-off sheets, acknowledgment of safety rules, instruction sheets, copies of hazardous material data sheets, informational materials, and related documentation and correspondence.

Retention: 10 years after employee separation; destroy.

FACILITIES AND PHYSICAL PLANT RECORDS

Architectural and Landscape Drawing

Records document the planning of new campus buildings and surrounding landscape. Records may include blueprints, maps, designs, sketches, preliminary drawings, and photographs.

Retention: Permanent; transfer to the University Archives.

Building Space Inventory Records

Records document the buildings owned and leased by the various institutions within the institution and off campus. Records may include but are not limited to computer generated reports with details by building, type of space, principal use, department, and area.

Retention: a) Permanent for reports.
b) 10 years for all other records; destroy.

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

Records document the condition, upkeep and routine maintenance of the institution's buildings and grounds, as well as remodeling and construction projects. Records may include but are not limited to floor plans, specifications, layouts, sketches, maintenance agreements, work logs, and related documentation and correspondence.

Retention: a) Permanent for floor plans.
b) 3 years for minor maintenance activities.
c) 10 years for major maintenance activities; destroy.

Capital Construction Projects Records

Records document the planning, administration, and implementation of construction projects. Records may include but are not limited to project descriptions and requirements; plan reviews; project schedules; contract change orders; bid documentation; contracts and agreements with architects, engineers, consultants, vendors, and contractors; materials and soils reports; progress reports; insurance reports; payment schedules; summary reports; final acceptance statements; budget allocations; and related documentation and correspondence.

Retention: a) Life of building for plans and specifications; transfer to University Archives for appraisal.
b) 10 years for all other records; destroy.

Classroom and Laboratory Utilization Records

Records document the utilization of classroom and laboratory space. Records include preliminary and final reports which contain class numbers, time of the class, and the number of students in the class.

Retention: a) 5 years for final utilization reports.
b) 2 years for preliminary utilization reports; destroy.

Equipment Inventory Records

Records document the acquisition, location, transfer, and disposition of property and equipment. Records may include but are not limited to equipment inventory lists, lost/stolen/damaged property reports, equipment transfer forms, and related documentation and correspondence.

Retention: Until superseded plus 3 years; destroy.

Equipment Maintenance Records

Records document the operation, maintenance, service and repair of mechanical and electrical equipment. Records may include but are not limited to purchase orders, lease agreements, warranties, instructions and operating manuals, vendor statement, service contracts, charge call bills, activity reports, service logs, invoices, and purchase request forms, and related correspondence.

Retention: Life of the equipment; destroy.

Equipment Rental Records

Records document the rental of equipment. Records may include agreements, usage logs, and related correspondence.

Retention: 2 years after return of property; destroy.

Key Issuance Records

Records document key assignments and deposits for institutional faculty, staff, and others using the institution's facilities. Records may include key inventories, key logs, sign out forms, and related documentation and correspondence.

Retention: 1 year after key is checked-in; destroy.

Land Inventory Records

Records document real property owned and leased by the institution and lists each parcel acquired through ownership or under lease agreement. Records include but are not limited to land inventory reports, permanent land and deed filings with the state/county, and related documentation and correspondence.

Retention: a) Permanent for deeds and correspondence.
 b) Until superseded or obsolete for all other reports; destroy.

Parking Permits Records

Records document the issuance of permits for on-campus parking. Records may include annual permit cards, registration forms, temporary permits, reports and related documentation and correspondence.

Retention: 2 years; destroy.

Quality Control Inspection Records

Records document the quality of services provided by the unit. Records may include narrative reports, inspection forms, and related documentation and correspondence.

Retention: 2 years; destroy.

Real Property Records

Records document the real property acquired and sold by the institution. Records may include but are not limited to purchase agreements, title abstracts, easement details, public hearing notices and minutes, county recorder's plat descriptions, memoranda of understanding, earnest money receipts, sales agreements, property deeds, working papers and related documentation and correspondence.

Retention: 6 years after property is sold; destroy.

Room Change Records

Records document room assignments and room remodeling done by facilities services. Records may include but are 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; destroy.

Sale Inventory Records

Records document the saleable items in the institution's inventories. Records may include stock printouts, inventory reports, and related documentation and correspondence.

Retention: 4 years; destroy.

Surplus Property Records

Records document the changes in property status; requests to declare items surplus, salvage, or scrap; removal and sale or disposal of excess equipment and other surplus items including proceeds from sales. Records may include but are not limited to surplus property declaration and pick-up requests, reports of transfer to other departments or sales to private parties, descriptive information, surplus property sales inventory lists, bills of sales, cash receipts, and related documentation and correspondence.

Retention: 4 years; destroy.

Utilities Systems Operating and Maintenance Records

Records document the operations and maintenance of institutional utilities. Records may include equipment operations logs, mechanical readings charts, equipment maintenance histories, and related documentation and correspondence.

Retention: a) 4 years after equipment is no longer in service; destroy.
b) 10 years for all other records; destroy.

Work Orders Records

Records document requests and authorizations for needed services and/or repairs to institutional property and equipment. Records may include but are not limited to copy center work orders, printing orders, photographic work orders, telephone service/installation requests and change orders, maintenance and repair authorizations, and related documentation and correspondence.

Retention: 3 years; destroy.

FACULTY RECORDS

GENERAL

Academic Search Records

Records consist of committee procedures and decisions in the recruitment for a Dean, director, faculty, or Chair positions. Records may include lists of committee members, correspondence regarding planning for the search, the development of criteria for the selection of a candidate, job/position description, and related materials. Materials submitted by an applicant are not included.

Retention: a) Deans and Directors: 10 years after end of search; transfer to Archives for review.
 b) Faculty and Chairs: 6 years after end of search.

Course Evaluations

Records consist of teaching evaluations completed by students concerning the teaching performance of individual faculty or academic staff. Student evaluation information can be used to support tenure applications.

Retention: 3 years; destroy.

Examinations, Tests, and Term Papers

Records document student subject mastery in institution courses. Records may include examinations and answers, quizzes and answers, course papers, and term papers.

Retention: a) 1 term after completion for uncontested grade results.
 b) Until resolved for contested grade results.

Faculty Advisor Records (academic departments or faculty members)

Records document the relationship between students and their faculty advisors.

Retention: Degree completion or last date of enrollment +1 year.

Faculty Evaluations

Records consist of activity reports, annual evaluations, self-evaluations and other records created as part of the evaluation process.

Retention: 5 years after date created; transfer to the academic personnel folder.

Grievance Files

This series includes written complaints made by faculty and academic staff against the institution which 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, final summary statements, appeals documentation, and related documentation and correspondence.

Retention: 3 years after resolution, transfer a copy of the written complaint which leads to disciplinary action and any notice of the action taken to the individual's official personnel file.

Instructors' Grade Records

Records document test scores, class work scores, and final grades for students. Records may include instructors' grade books, grade confirmation and change records, and final grade rosters.

Retention: 2 years.

Lecture and Lecture Series Records

Records document the development of special lectures and lecture series devoted to a variety of topics and disciplines sponsored by the institution and colleges. Records include lecture committee notes, planning materials, information of funding, financial support and honoraria records, programs and announcements, catering arrangement and information, news releases, photographs, video tapes, and related documentation and correspondence.

Retention: a) Permanent for committee notes, planning materials, programs and announcements, news releases, and photographs.
b) 5 years for all other records.

Recorded Classroom Lectures and Instructor Recorded Material

Retention: 3 years.

Teaching Materials

Records consist of class assignments, PowerPoint presentations, rubrics and similar material.

Retention: Until superseded or no longer needed; destroy.

Tenure and Promotion Records

Records document the granting of tenure to faculty members. Records may include but are not limited to vitae, credentials, licenses or certificates, evaluation summary information of teaching, curriculum development and advising, peer evaluations, letters of recommendation, lists of publications or other record of scholarly productivity, awards, letter from the chair that summarizes the individual's career, statements from the candidate, evidence of service to the university and the profession and notice of recommendation regarding tenure.

Retention: From date of the final tenure decision +6 years; transfer the mater tenure file to the individual's official personnel file.

GOVERNANCE

Committee Meetings (academic and administrative)

Records document the proceedings and activities of the Board of Trustees, standing and ad hoc committees, councils, steering, and task forces. These committees may consist of members from the faculty (faculty senate committees), staff (appointed by an administrator), or members from outside the institution functioning in an advisory capacity. These records also include but are not limited to agendas, meeting minutes, reports, notes, working papers, and any supplementary documents or related materials, and correspondence.

Retention: Permanent for minutes and official reports; transfer approved minutes and reports to the University Archives at the end of the academic year.

Faculty Senate Records

Records document the proceedings and actions of an institution's faculty senate. Discussions and actions of the faculty senate deal with such areas as curriculum, program development, promotion and tenure, and legislative relations. The records may include but are not limited to meeting minutes and agenda, studies, recommendations, resolutions and enactments, reports, working papers and related documentation and correspondence.

Retention: Permanent; transfer to the University Archives after 5 years. Minutes may be transferred at the end of the academic year.

Voting Materials (elections to committees)

Written or electronic ballots, nomination papers, tabulations, and other materials used to elect employees to committees, or used within committees to elect committee chairs.

Retention: 1 year.

Voting Materials (committee actions)

Written or electronic ballots, nomination papers, tabulations, and other materials used by faculty committees to decide on actions to be taken by the committee. This series also includes ballots on issues of promotion or tenure.

Retention: Approval of minutes +6 years.

FINANCIAL AID RECORDS

Retention periods are based on recommendations and requirements found in 34 CFR §668.24 and §675.19, the Federal Student Aid Handbook and recommendations of the American Association of Collegiate Registrars and Admissions Officers (AACRAO).

Credit Bureau Reports Records

Records document holders of student loans that have been reported to credit bureaus.

Retention: 2 years after collected or deemed uncollectable; destroy.

Federal Direct Loan Records

Records relate to the Federal Direct Stafford Loans and the Graduate PLUS Loans.

Retention: a) 3 years after the end of the award year; destroy.
b) Until resolved for records involved in any loan claim or expenditure questioned by Title IV, audit, review, or investigation.

Authority: 34 CFR §668.24(e)

Federal Title IV Program Records

Records document the eligibility to participate and school's administration of Federal Title IV and programs. Records may include agreements, recertification, education program eligibility, accreditation reviews, and reports.

Retention: 6 years after expiration; destroy.

Authority: 34 CFR §682.515.

Financial Aid Annual Reports Records

Record document cumulative loan activity of each fiscal year through a required year-end report made to the U.S. Department of Education. Records may include but are not limited to schedules and instructions, working papers, exhibits audit reports, findings, rebuttals, and related documentation and correspondence.

Retention: a) 20 years for audit reports, exhibits, finding, and rebuttals.
b) 5 years for other records after completion of audit.

Financial Aid Transcripts Hold Records

Records document the monitoring of students who have been delinquent in or in default of financial aid payments. Records include lists indicating students' names and addresses, academic majors and standings, and account status.

Retention: 5 years; closed series.

Fiscal Records and Reports Records

Records document Federal Title IV Aid transactions, including receipt, management and distribution of funds. Records include all Title IV program transactions, bank statements for accounts continuing Title IV payments, cash disbursements, refunds, and repayments, ledgers identifying transactions, Federal work-study payroll records, annual audit reports.

Retention: 3 years after the end of the award year.

Loan Activity Records

Records document payments, adjustments, draw advances, address and status changes, cancellations, deferments, and postponements on borrower's accounts.

Retention: 5 years after loan is paid.

Military Education Benefits Records

Various forms used by the Department of Financial Aid to request and monitor a series of federal and state military education benefits.

Retention: 5 years after the end of the award year.

Student Financial Aid Records

Records document students' need for financial aid such as loans, work study, and grants. Records may include but are not limited to cost of attendance information, documents used to verify applicant data, student certification statements and supporting documentation, financial aid history, documentation of student's satisfactory academic progress, documentation of student's program of study and courses enrolled in, and documentation related to the receipt of aid.

Retention: a) 5 years after the end of the award year.
b) Date of application +3 years for students not eligible or did not accept the loan.

Student Grant Administrative Files

Records document federal and state grants. Records may include but are not limited to rosters of eligible recipients, reports, vouchers, and related documentation and correspondence.

Retention: 4 years after the end of the award year.

Student Loan Program Administration

Records document federal and state loan programs. Records may include loan applications, loan entrance counseling, truth in lending documents, and related documentation and correspondence.

Retention: 5 years after the end of the award year.

Student Loan Repayment Records

Records document repayment of loans including collection activities, financial arrangements, forbearance, deferment, or cancellation forms; loan verifications for consolidation; exit interview

documentation; truth and lending statement; repayment schedule; statement of rights and responsibilities; credit reports; payment history; bankruptcy; and related documentation and correspondence.

Retention: 7 years after loan repayment, cancellation, or assignment to the U.S. Department of Education.

Student Promissory Notes Records

Records document promissory notes for student loans negotiated for the current academic year.

Retention: 3 years after repayment.

Work-Study Personnel Records

Records document the official personnel file for student workers and includes Direct Deposit Authorization, W4 Form, timecards, and correspondence.

Retention: a) 7 years after the last fiscal year of employment.
b) End of last fiscal year of employment +1 year for departmental records.

Work-Study Program Administrative Records

Records document the administration of the Federal Work Study program at the institution. Records include job descriptions, award letters, pay rate change notices, and related correspondence.

Retention: 5 years.

FINANCIAL RECORDS

ACCOUNTING RECORDS

Budget Records

Records document fiscal activity presented in summary form which may be used to monitor funding distribution, budget planning, analyzing budget cuts, or structuring of programs. Records may include working papers, memoranda, final and summary reports and spreadsheets, and related documentation and correspondence.

- Retention:
- a) Permanent final adopted budgets.
 - b) 3 years for summaries.
 - d) Until no longer needed for all other records.
-

Capital Construction Funding Records

Records document the funding of capital construction projects and in preparing budgets and allocations for capital construction projects. Records may include project descriptions, budget projections and allocation records, budget authorization forms, budget change orders, final acceptance statements, and related documentation and correspondence.

- Retention:
- a) Finance Division holds the official copy.
 - b) Until no longer needed for all other records.
-

Financial Statements and Annual Fiscal Reports

Records document annual fiscal year-end status of accounts. Records include annual certified and uncertified financial statements and reports.

- Retention:
- a) Permanent.
 - b) Unofficial department and office copies should be retained until no longer needed.
-

Real Property Records

Records document real property acquired and sold by the institution. Records include purchase agreements, title abstracts, easement details, public hearing notices and minutes, county recorder's plat descriptions, memoranda of understanding, earnest money receipts, sales agreements, property deeds, working papers, and related documentation and correspondence.

- Retention:
- 6 years after property is sold; destroy.
-

Travel and Registration Fee Records

Records document requests for and approval of travel by employees, to monitor travel expenditures, for planning purposes, to document changes in dates of travel, changes in itinerary, or changes in funding sources. Records may include authorization forms, registration forms, invoices, itineraries, advance

forms, reimbursement requests, receipts, mileage reports, airfare documentation, and related documentation and correspondence.

Retention: 6 years; destroy.

GENERAL RECORDS

Audit Records

Records document the unit's response to internal and external fiscal audits. Records may include audit work papers and reports, written responses showing how recommended changes will be implemented and related documentation and correspondence.

Retention: Recommend permanent or as determined by the needs of the university.

Bank Reconciliation and Cash Reports

Retention: 7 years, destroy.

Cancelled Checks and Deposit Slips

Retention: 7 years; destroy.

Chart of Accounts

Retention: 3 years; destroy.

Authority: 26 CFR §1.6038a-3

Collection Records

Records document efforts to collect unpaid accounts. Records include collection letters, notices, letters of transmittal, and bankruptcy records.

Retention: 6 years; destroy.

Creation of Federal Grants and Contracts

Records back-up support for establishing new funds and government filing reports.

Retention: 3 years after completion of the activity for which the funds are used or 3 years from date of submission of the final expenditure report, whichever is later.

Authority: Federal Grants Records 20 USC §1232F(A); 34 CFR §74.53

Deeds, Mortgages, and Bills of Sale

Retention: Permanent.

Grant Direct Payment Records

Records document requests and justification for transfers of direct payment funds from federal grantors. Records may include federal cash position reports, spreadsheets of various federal sources and cash

needs, requests for cash, credit advice from the U.S. Treasury, and related documentation and correspondence.

Retention: 5 years.

Grant Indirect Cost/Returned Overhead Records

Records document the analysis of grant indirect costs in preparing returned overhead figures for institutional departments and are used to submit notification for the budget to be adjusted. Records may also include final reports, spreadsheets, work sheets, and related documentation and correspondence.

Retention: 5 years.

Journal Vouchers

Retention: 7 years; destroy.

Notes Receivable Ledgers and Schedules

Retention: 7 years; destroy.

Student Loan Interest and Tuition Payment Statement Records

Records document loan interest and tuition paid by students so that deductions may be claimed on income taxes. Records may include 1098E and 1098T forms and related correspondence.

Retention: 3 years; destroy.

GIFT AND ESTATE PLANNING RECORDS

Gift Receipts

Retention: 6 years; destroy.

Authority: 26 USC §6501

Property Appraisal by Outside Appraiser

Retention: Permanent or determined by the needs of the university.

Wills and Trusts

Retention: Permanent or determined by the needs of the university.

TAX RECORDS

CA Sales and Use Tax Liability Records

Records include accounting books, schedules, working papers used in preparation of tax returns, bills, receipts, cash register tapes, etc.

Retention: 4 years.

Authority: 18 CCR §1698(i)

Form 990 Return of Organization Exempt from Income Tax

Retention: 3 years from filing date.

Authority: 26 USC §6104(d)

Notice of Disallowance of Taxpayers Claim by Secretary

Retention: 2 years from the date of mailing by certified or registered mail.

Authority: 26 USC §6532

Overpayment of Taxes

Records related to overpayment of any tax for application of a tax refund or credit claim.

Retention: 3 years from the time return was filed or 2 years from the time tax was paid, whichever is later.

Authority: 26 USC §6511

Property Tax Records

Retention: 10 years, destroy.

Authority: Cal. Rev. and Tax Code §19371

Returns and Assessment Dates

For many different taxes: gift taxes, estate taxes, excise taxes, income taxes, personal holding company, constructive dividends, etc.

Retention: 6 years, destroy.

Authority: 26 USC §651 (a) & (f)

ACCOUNTS PAYABLE AND RECEIVABLES RECORDS

1099-Miscellaneous Copies and Reports

Retention: Permanent

Accounts Aging Records

Records document a cumulative listing by accounts receivable number of receivables on the Accounts Receivable master file.

Retention: 10 years; destroy.

Accounts Payable Paid Invoices including attachments

Retention: 6 years; destroy.

Accounts Payable Records (department or office)

Records document a department's expenditures and purchases. Records may include paid invoices with attachments, voided checks with attachments, credit card statements with attachments, manual check register and reports, W-9 forms, 1099-Miscellaneous, and signature authorization forms.

Retention: 6 years, destroy.

Accounts Receivable Records

Records document charges and billing process for good and/or services rendered and collection activities for departments and offices. Records may include work orders or service requests, credit card payment forms, billing statements and invoices, receipts, checks, and related documentation.

Retention: 6 years; destroy.

Accounts Receivable Write-off Records

Records document debts of Accounts Receivables written off with the approval of the Finance Services and Treasury office. Records include accounts receivable invoices, write-off worksheets, and due diligence documents.

Retention: 6 years after write-off, destroy.

Annuity Agreements

Retention: Permanent.

Cash Receipt Records

Records document transactions for cash received by the institution. Records may include cash register tapes, monthly cash reports, and weekly cash summary reports.

Retention: 6 years; destroy.

Check Authorization Forms

Retention: 1 year; destroy.

Control Reports

Retention: 1 year; destroy.

Credit Card Statements with Attachments

Records document administration of credit cards issued to institutional staff and units. Records may include applications, monthly billing statements, billing summaries, use summaries, and related correspondence.

Retention: 6 years; destroy.

Independent Contractor Contracts and Agreements

Retention: 3 years after termination of contract.

Lease Contracts

Retention: 3 years after termination of contract.

Manual Check Register and Reports

Retention: 6 years; destroy.

Pre-Check Reports

Retention: 6 months; destroy.

Student Wire Transfer Documents

Retention: 6 years; destroy.

Vendor W-Forms

Retention Permanent.

Void Checks with Attachments

Retention: 6 years; destroy.

PAYROLL RECORDS

Deduction Authorization Records

Records document deductions from salary checks authorized by employees. Records may include deduction forms, deduction information on medical, dental, life, and disability insurance, parking permits, and miscellaneous deductions.

Retention: 4 years after authorization expires or is superseded, destroy.

Employee Time Records

Records document hours worked and leave hours accrued taken by employees.

Retention: 4 years; destroy.

Federal and State Tax Records

Records document the collection, distribution, deposit, and transmittal of federal and state income taxes and social security tax. Records include the federal Miscellaneous Income Statement (1099), Request for Taxpayer Identification Number and Certificate (W-9), Request for Student(s) or Borrower(s) Social security Number and Certificate (W-9S), Employers Quarterly Federal Tax Return (941, 941E), Annual Withholding Tax Return for U.S. Source Income of Foreign Persons (1042), Foreign Person(s) U.S.

Source Income Subject to Withholding (1042S), Tax Deposit Coupon (8109), Withholding Allowance Certificates (W-4), Wage and Tax Statements (W-2), and related federal and state tax forms.

Retention: 5 years; destroy.

Garnishment Records

Records document deductions requests and court orders to withhold wages from employee earnings for garnishments, tax levies, support payments, or other reasons. Records may include original writs of garnishment, recapitulations of amounts withheld, and related records.

Retention: 4 years after resolution; destroy.

Payroll Adjustment Records

Records document changes in employee payroll deductions, tax withholdings, and payroll records. Records may include but are not limited to pay/budget action forms, time and attendance records, pay reduction/termination notices, and related documentation and correspondence.

Retention: 5 years; destroy.

Payroll Check Register Records

Records document payroll checks issued and direct deposits.

Retention: 6 years; destroy.

Wage and Tax Statement Records

Records document data reported on the annual wage and tax statements for employees, corrections to these statements, and a record of transmittal to the federal government. Records include summary transmittal forms, IRS forms, and undeliverable records.

Retention: 6 years; destroy.

GRANTS AND RESEARCH RECORDS

Agreements, Awards, and Contracts Records

Records document agreements under which the University conducts research, training, or other services. Records may include but are not limited to approval for grant or contract, award letter, agreements, funded financial records, statistical records, fiscal reports, and supporting documents pertinent to an award.

Retention: 6 years after expiration/termination, resolution of any litigation, claim or audit, or period stated in award document; transfer to the University Archives for appraisal.

Conflict of Interest Records

Records document potential conflicts of interest involving employees. Records may include but are not limited to financial disclosures and actions taken to resolve conflicts of interest and related documentation and correspondence.

Retention: 3 years; destroy.

Food and Drug Administration Records

Records document investigational new drug applications, case histories, and disposition of an investigational new drug.

Retention: 2 years; destroy.

Grant Records

Records document the development of grant proposals to state or federal agencies and the administration of grant awards and programs. Records may include but are not limited to grant applications and agreements, research data, working papers, demographic and statistical data, activity performance, and related documentation and correspondence.

Retention: a) Permanent for final research report.
b) 5 years after final financial report is submitted and account is closed for all other records.
c) 18 months after submission for unfunded grant proposals; destroy.

Human Subjects Records

Records document the review of research proposals that involve any type of use of human subjects. Records may include applications for approval by the review board, Protection of Human Subject Assurance/Certification/Declaration forms, descriptions of protocol, signed consent forms, sample questionnaires or surveys copies of grant proposals, review summaries, and related documentation and correspondence.

Retention: a) 5 years after completion of the project/contract or funded projects.
b) 3 years for unfunded/withdrawn/denied project applications and documentation.

Institutional Animal Care and Use Records

Records document the care and proposed use of animals by the institution for research purposes. Records may include but are not limited to applications, institutional animal care and use forms, proposed activities, inspections, research records, reports and recommendations, and related documentation and correspondence.

Retention: 3 years after the completion of the activity.

Authority: Animal Welfare Act, 9 CFR 2.34, NIH/OLAW 2002, 2nd Edition, Institutional Animal Care and Use Committee Guidebook, Sec E.1.

Institutionally Funded Research Records

Records document the activities of the institutional councils and boards which review proposals and make recommendations for awards to faculty for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Records may include but are not limited to applicant case files, agendas, minutes, reports, notes, working papers, funding summaries, award letters, applications for research support, personal data, final research reports, and related documentation and correspondence.

Retention a) Permanent for minutes and final research reports.
 b) 5 years for funding summaries and funded applications.
 c) 1 year for all other records, destroy.

Institutional Review Board Records

Records document academic research activity. Records may include but are not limited to reviewed research proposals, scientific evaluations, approved sample consent documents, reports of unanticipated problems involving risks to subjects or others, minutes of IRB meetings, agendas, list of IRB members, written IRB procedures, statements of significant new findings provided by subjects and related correspondence.

Retention: 3 years.

Authority: 45.CFR 46.115 Protection of Human Subjects and 21 CFR 56.115 IRB Records

Human Subjects Records

Records document the review of research proposals that involve any type of use of human subjects. Records may include applications for approval by the review board, protection of human subjects forms, descriptions of protocol, signed consent forms, sample questionnaires or surveys, copies of grant proposals, review summaries, and related memoranda and correspondence.

Retention: a) 5 years after completion of the project/contract or funded projects; destroy.
 b) 3 years for unfunded/withdrawn/denied project applications and documentation; destroy.

Laboratory Notebooks

Records document the routine research activities of non-grant funded research projects. Records may include but are not limited to notebooks, binders, notes, or any other type of journal format.

Retention: 6 years; destroy.

Research Misconduct Records

Records document accusations of misconduct brought forward by or against faculty or students and relating to research projects. Records include accusation statements, inquiry committee findings, proceedings records, and related correspondence.

Retention: 7 years; destroy.

Authority: 42 CFR 93.317

Technology Transfer Records

Records document the transfer of technology from the institution to outside agencies as the result of research projects and grants carried out at the institution. Records may include but are not limited to original patents, patent applications, international licensing agreements, invention disclosure forms, suggested and manufacturers, reports, and other related documentation and correspondence.

Retention: a) Permanent for original patents, license agreements, patent legal transaction and invention disclosure forms.
b) 3 years; destroy.

HEALTH RECORDS

Client Medical Records

Records document medical services provided to non-students such as blood pressure checks, dental exams, eye exams, etc. by the institution's medical students under the supervision of the college. Records include medical history forms, notations of services provided, payment information, and related correspondence.

Retention: 7 years after last service or until client reaches age 21, whichever is longer; destroy.

Client Satisfaction Surveys

Records document client comments on services provided by students under the supervision of the college. Surveys may include but are not limited to rating of services, type of services rendered and statistics about the clients.

Retention: 3 years; destroy.

Clinic and Medical Staff Committee Minutes

Retention: Permanent.

Communicable Disease Records

Records fulfill the public health requirement of reporting the discovery of communicable disease. Records may include but are not limited to laboratory test results and name and address of patient information.

Retention: 7 years after last service or until client reached age 21, whichever is longer; destroy.

Financial Statements and Records

Records document the statistical and factual reports by the facility with the Department of Health and Medicare, including general financial statements and patient billing records.

Retention: 10 years.

Authority: 31 USC §3731(B)

Health History Records

Records document a student's medical history as a prerequisite for enrollment.

Retention: 7 years, destroy.

Immunization Records

Records document reporting requirements for immunizations given to students.

Retention: a) 4 years after graduation, destroy.

b) Date of application +1 year for students who did not enroll.

Laboratory Inspection Records

Records document in-house inspection of laboratory equipment on a regular basis. Records may include but are not limited to checklist of all equipment, calibrations, and conditions.

Retention: a) For the life of the equipment for calibrations.
 b) 3 years for all other records; destroy.

Licensure Records

Records document the professional and regulatory issuance of credentials to individuals and facilities providing services within the institution. Records may include but are not limited to license applications, laboratory licensing, retail drug outlet/controlled substance registration and inspection reports, individual employee professional licenses, and related documentation and correspondence.

Retention: Until superseded or obsolete; destroy.

Logs of Patient Treatment and Admissions

Records document scheduling activity or other logs recording patient treatment and/admissions

Retention: 10 years.

NMM/OMM Screening Assessment for Structural Exam Records

Record consists of an internal document that contains student medical information that helps physician faculty evaluate and identify high risk students if a student can participate in OMT exercises.

Retention: a) 2 years (after graduation).
 b) Retain an additional 2 years if the student sought medical attention or filed an injury report with risk management for injuries incurred during the OMT exercises.

Patient Complaints and Grievances

Records document correspondence, investigation materials, and grievance committee records.

Retention: a) Minimum of 7 years after the last date of service.
 b) 10 years for Medi-Cal patients.

Authority: California Medical Practice Act and Welfare and Institutions Code.

Patient Medical Records

Records document the medical/clinical services history provided to patients at institutional facilities. Records may include but are not limited to appointment request slips, summary sheets, laboratory test results, treatment record forms, diagnosis sheets, health history/screening sheets, initial evaluation/assessment sheets, referral sheets, health center billing statements, x-ray requisitions and radiologist's narrative, dental and optometric examination sheets, physical therapy notes, memoranda, and related correspondence.

Retention: a) Adults: Minimum of 7 years after the last date of service.
 b) Minors: Until the age of 19, but no less than 7 years after the last patient encounter.

Authority: California Medical Practice Act and Welfare and Institutions Code.

Pharmacy Prescription Dispensation Records

Records document individual, daily, and annual summary records of initial drug dispensation and refills administered by the department. Records may include but are not limited to prescription slips, RX registers, controlled substance reports, and reports.

Retention: 3 years; destroy.

Pharmacy Records of Controlled Substances

Records document inventory, disposal, orders and prescriptions.

Retention: 5 years.

Authority: Public Health Law §3370.1

Quality Assurance Records

Records document quality assurance plan and review procedures relating to quality of care provided to patients, peer review, quality improvement and patient safety evaluation. Records include minutes, reports, patient safety and analysis and improvement processes.

Retention: a) Permanent.

b) 10 years after termination of employment or medical staff membership.

Student Medical Records

All medical information regarding student health, university entrance physical report, lab and x-ray reports, and any correspondence.

Retention: 7 years.

Work Schedules and On-Call Schedules

On call schedules of physicians and personnel.

Retention: 6 years.

INFORMATION MANAGEMENT RECORDS

Computer System Program Documentation Records

Records document the addition, modification, or removal of software from an institutional, departmental or office compute system. Records may include system overviews, operations logs, job listings, operator instruction manuals, system development logs, system specifications and changes including narrative and flow chart descriptions, conversion notes, dataset logs, dataset inventories, dataset record layouts, hard copies of tables, data dictionaries, data directories, programming logs, program specifications and changes, record layouts, user views, control program table documentation, program listings, and commercial software manuals.

Retention: Life of the system; destroy.

Computer System Security Records

Records document the security of an institution, department, or office computer system. Records may include but are not limited to employee access requests, passwords, access authorizations, system access logs, encryption keys, and related documentation.

Retention: a) 3 years for system access logs.
b) 3 years after superseded or obsolete for all other records; destroy.

Software Management Records

Records document the use of software in university information systems. Records include software purchase records, software inventories, software licenses, site licenses, and correspondence.

Retention: Until software is disposed of or upgraded; destroy.

Telecommunication System Management Records

Records document 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 and related correspondence.

Retention: Life of system; destroy.

PERSONNEL RECORDS

Affirmative Action and Equal Opportunity Records

Records document compliance with statutes and regulations of the U.S. Equal Employment Opportunity Commission regarding affirmative action. Records include but are not limited to affirmative action plans, compliance, and policies, reports, supporting documentation, and correspondence.

Retention: a) Permanent for reports, policy, Equal Opportunity and Affirmative Action plans, audit reports,
 b) 3 years for all other records; destroy.

Benefits Records

Records document employee benefits contributed to or supported by the institution. Records may include but are not limited to employee orientation program, retirement programs, tax deferred investment programs dependent care programs, employee assistance programs, injured worker benefits, insurance plans, deferred compensation plans, dependent care programs, employee assistance program, injured worker benefits, medical, dental, vision, life/disability insurance programs, open enrollment records, contribution and deduction summaries, personal data records, authorizations, beneficiary information, and related documentation and correspondence.

Retention: 3 years after employee separation or eligibility expired; destroy.

Candidate Files

Individual candidate files include all materials submitted by the candidate as part of the application recruitment process.

Retention: 6 years from date that position is filled; destroy.

Continuation of Insurance Benefits (COBRA)

Records document the institution's compliance with the Consolidated Omnibus Reconciliation Act of 1986. Records may include notices given to insurance administrators when employees leave the institution and dependent information.

Retention: 3 years; destroy.

Criminal Background Check Records

Records document the pre-employment checks made at the time of hire for prospective or current staff, faculty, and volunteers by the institution. Records may include but are not limited to self-disclosure job application supplements, fingerprint-based verification form and criminal history checks by law enforcement, and notification of decision to not hire due to employment position requirements.

Retention: 7 years; destroy.

Drug Testing Records

Records document the testing of current and prospective employees for controlled substances prohibited by policy. Records may include but are not limited to the documentation of test results, collection process, sample process, and decision to administer reasonable suspicion drug testing.

Retention: a) 1 year for negative drug test results; destroy.
b) 3 years for positive drug test results; destroy.

Emergency Contact Information

Retention: Until superseded or employee terminates employment; destroy.

Employee Training Records

Records document employee participation in training courses or programs for development purposes. Records may include but are not limited to staff fee requests to take classes, course agendas, descriptions, and syllabi, course outlines and materials, enrollment and attendance records, training requests and authorizations, certificates of completion, and related documentation and correspondence.

Retention: 3 years; destroy.

Employment Actions Records

Records document the process of hiring, separations, promotions, demotions, transfers, and layoffs.

Retention: 1 year.
Authority: Civil Rights Act (Title VII), Americans with Disabilities Act (ADA)

Employment Eligibility Verification Forms (I-9)

Records document employment eligibility and employee identity.

Retention: Date of hire +3 years or date of termination +1 year, whichever is later; destroy.

Employment Handbook

Retention: 1 year or until superseded.
Authority: Civil Rights Act (Title VII), American with Disabilities Act (ADA).

Faculty Personnel Records

Records are comprised of the comprehensive employment of the individual and document the employee's work history. Records may include but are not limited to letters of recommendation or reference, letter of offer, appointment, reappointment, or promotion, letter of acceptance and tenure, conditions of employment, employment contracts, personal action forms, pay/budget forms, salary adjustments, resumes or curriculum vitae, retirement agreements, notice of sabbatical leave and leaves of absence, notices of faculty or academic staff awards, notices of awards or grants, grievances and notices of disciplinary action, arbitration records, notices of non-renewal of appointment, letters of resignation or retirement related documentation and correspondence.

Retention: a) Tenured Faculty – 30 years from date of employee's retirement or death.

b) Non-Tenured Faculty/Academic Staff-10 years from termination of employment.

Faculty Employment Search Records

Records document the selection process for academic positions. Records include but are not limited to applications, curriculum vitae or resumes, academic transcripts, writing samples, publications, candidate lists, positions announcements, advertisements or descriptions, and related correspondence.

Retention – official copy: a) 3 years from close of search for HR,
 b) or determined by school,
 c) or close of search for departments.

Faculty Tenure and Promotion Records

Records document the periodic consideration of faculty who are eligible for changes in rank, tenure status, and/or pay. Records may include but are not limited to promotion and tenure dossiers, current position description, letters of recommendation, current curriculum vitae or resume, evaluation summary information, curriculum development, scholarly productivity, committee findings, recommendations of administrative superiors, and related documentation and correspondence.

Retention: 75 years after termination of employment or verified death.

Family and Medical Leave Case Files

Records document 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, leave history records, employee time records, and related documentation and correspondence.

Retention: 3 years after case closed; destroy.

Grievances and Complaints Records

Retention: a) Transfer a copy of the written complaint which leads to a disciplinary action and any notice of the action taken to the individual's official personnel file.
 b) 6 years for all other copies; destroy.

H-1 Visa Scholars Records

Records document the temporary employment of internationals by the institution. 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 extension, details of work assignments, and related documentation and correspondence including the letter of support.

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

Immigrant Visa Scholars Records

Records document 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, interviewers' notes and memoranda, and related correspondence.

Retention: 75 years; destroy.

J-1 Visa Scholars Records

Records document the short-term appointment of non-immigrant international scholars as visiting faculty, specialist, researchers and trainees. Records may include but are not limited to United States Information Service Certificates of Eligibility for Exchange Visitors Forms, descriptions of work to be performed, methods of financial support, copies of passports, personal data, and related documentation.

Retention: 3 years after visa expiration; destroy.

Job Advertisements and Internal Postings

Final ad copy for the position vacancy announcement.

Retention: 1 year.

Authority: 29 CFR §1627.3(b).

Job Classifications and Descriptions Records

Records document position descriptions for faculty, exempt and non-exempt positions and is used for employee recruiting.

Retention: 1 year from date of personnel action.

Authority: Civil Rights Act (Title VII), Americans with Disabilities Act (ADA)

Letters of Resignation/Retirement

Retention: Transfer to the individual's official personnel file.

Non-renewal of Appointment Records

Records document incidents where a faculty or academic staff member fails to have his/her appointment renewed. Records may include notice of non-renewal, records of appeal and related documentation and correspondence.

Retention: a) Transfer a copy of notice of nonrenewal and reasons to individual's official personnel file.

b) 6 years from date of final decision for Hearing Body or Committee Records.

Personnel Action Forms

Forms authorize changes to People Admin system, such as create a position, modify a position, hire a person, etc.

Retention: Until superseded.

Requests for Authorization to Reimburse Employee Fee Tuition

Records consist of request forms used by an employee seeking authorization to obtain reimbursement for course work and other training.

Retention: Date of reimbursement +4 years.

Sabbatical Leave Records

Records document sabbatical leave activities of faculty. Records may include but are not limited to curriculum vitae, application, description of the proposed sabbatical, contracts, grants and pending awards to be used towards the sabbatical, notice of award or disapproval, and related documentation and correspondence.

Retention: Permanent.

Search Committee Records

Records document the selection process for presidential and administrative positions. Records may include but are not limited to list of candidates and nominees, list of interviewees, lists of committee members, publicity materials, position vacancy announcements, lists of colleagues and professional organizations from which nominations may have been sought, sample questions used in the interview process, interview materials, rejected letters of offer, and other correspondence related to the process.

Retention: a) Permanent for presidential search records; transfer to the University Archives after 2 years.
 b) 6 years from date search is completed for administrative positions.

Staff Employment Records

Records document individual employee work histories. Records may include but are not limited to employment applications, resumes, merit increase notices, performance evaluations, commendations, letter of recommendation, reprimands, resignations and termination letters, and related documents and correspondence.

Retention: a) 30 years for most records.
 b) 3 years for letters of reprimand; destroy.
 c) 3 years after employee separation for supervisor's copy; destroy

Staff Employment Search Records

Records document the process to fill non-faculty positions. Records may include but are not limited to applications, resumes, and letters of recommendation.

Retention: a) 3 years from close of search for HR.
 b) or close of search for departments; destroy.

Authority: Cal Gov't Code §12946

Student Employees Personnel Records

Records document the student employee's work history, work-study and/or regular departmental budgeted student employees. Records may include but are not limited to resumes, interview questionnaires and notes, work referral forms, student schedules, Financial Aid employment forms, student employment registration forms, personnel actions forms, pay/budget action forms, performance evaluations, employ withholding allowance forms, time-sheets payroll check authorizations, recommendations, reprimands or notices of disciplinary action, letters of resignation, work permits, copies of visas and related immigration status information employment eligibility forms, and related documents and correspondence.

Retention: 6 years after separation; destroy.

System Routine Audits and Reports

People Admin system produces a number of audit error and administrative reports that are used to verify data entry, updates to tables and other routine changes to the system and generated for reference purposes to support routine HR activities.

Retention: Delete once administrative reference value has concluded.

Termination for Cause Records

Records document employees whose employment has been terminated for cause. Records may include formal notice of charges, notice of appeal, hearing record, recommendations.

Retention: 6 years after date of final decision.

Tuition Reduction Records

Records document employee and/or dependents participation in courses or programs offered by the institution at reduced tuition rates. Records may include but are not limited to staff fee requests, course outlines and materials, descriptions and syllabi, enrollment and attendance records, authorization requests, certificates of completion, and related documentation and correspondence.

Retention: 4 years; destroy.

Unemployment Compensation Claim Records

Records document claims submitted by former institution employees for unemployment compensation. Records may include but are not limited to claim records, notices, reports, records generated by the appeal of claim determinations, and related documentation and correspondence.

Retention: 2 years; destroy.

Unsolicited Applications Records

Records document unsolicited requests for consideration for employment possibilities in institution units. Records may include but are not limited to curriculum vitae and resumes, transcripts, letters of inquiry, letters of recommendations and related materials and correspondence.

Retention 3 months; destroy.

PUBLICITY RECORDS

Biographical Records

Records document biographical data for institutional faculty and staff used for public information releases and references to provide responses to inquiries. Records include but are not limited to biographical sketches, vitae, photographs, personal history data sheets, newspaper clippings, retirement notices, funeral programs, and obituaries.

Retention: Permanent; transfer to the University Archives when no longer needed.

Consent Forms

Records grant the University permission to release, publish, and otherwise use still and moving images of individuals in publications, including promotional materials, and web publications.

Retention: Permanent.

News Clippings

Records document news coverage in local and national media.

Retention: Permanent; transfer to the University Archives.

News Release Records

Records document newsworthy events of the institution. Records include press releases and weekly campus information.

Retention: Permanent; transfer a copy to the University Archives.

Ordering Records

Records document requests for publications produced on campus.

Retention: Until filled and becomes inactive; destroy.

Photographic and Audio-Visual Materials

Records document institution activities, events, students, faculty, and staff with significant relevance to either the institutions or individual unit functions and mission. Still and moving images are typically used for student recruitment, fundraising, publicity, publications, research, or teaching. Records include photographs in print, negative and slide formats, digital images and video recordings, and audio tapes.

Retention: Permanent; transfer to the University Archives for appraisal. (NOTE: Contingencies must be made in transferring information to a more stable medium.)

Presentations and Speeches

Records consist of presentations given by university administration, faculty, and staff to a variety of audiences for informational or promotional purposes and may include text, images, slideshows, or notes.

Retention: Permanent; transfer to the University Archives.

Publications Records

Records document publications produced by individual institution offices for educational purposes or for informational purposes. Types of publications may include but are not limited to catalogs, books, magazines, newsletters, handbooks, yearbooks, directories, brochures, pamphlets, guidebooks, programs, and flyers.

Retention: Permanent for final publications; transfer a copy to the University upon completion.

Videotapes and Sound Recordings

Records document institutional activities and events including students, faculty, and staff with significant relevance to either the institutions or individual unit functions and mission.

Retention: Permanent.

PURCHASING RECORDS

Blanket Orders

Retention: 3 fiscal years; destroy.

Competitive Bid Records

Records document the evaluation and award of bids to vendors and/or agencies and provide evidence of accepted and rejected bids. Records may include but are not limited to requests for proposals, bids, and information, bids and information, bid and quote lists, notices of bid opening and award, comparison summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bit specifications, and vendor correspondence.

Retention: a) 5 years after bid awarded or canceled for successful bids.
b) 3 years after bid awarded for unsuccessful bids; destroy.

Freight Bills Paid

Retention: Fiscal year end.

Freight Claims

Retention: After completed, settled, terminated.

Inventory of Drugs and Controlled Substances

Records document the purchase and inventory of drugs and controlled substances held by units for clinical, instructional, and research uses. Records may include certificates/licenses documenting investigator's authority to purchase, daily inventories, and detailed inventory logs.

Retention: 3 years after expiration of certificate.

Packing Slips

Retention: As long as administratively valuable.

Postal and Shipping Records

Records document items that are mailed via UPS, US Postal Service, Federal Express, or another carrier and used for billing and tracking. Records may include printing and mailing shipping forms, parcel mailing order forms, postage forms, and related correspondence.

Retention: 3 years; destroy.

Purchase of Supplies and Services

Records document the details of purchases of services and goods including inventorial equipment by the University. Records include purchase requisitions, requests, and agreements, purchase orders (including

blanket POs) change orders, exceptions and cancellations, and other related documentation and correspondence.

Retention: 5 fiscal years; destroy.

Purchase of Services – Independent Contractors

Records document personal/profession services contracts between the University and independent contractors for professional, specialized, educational, creative, or custodial services. Records may include contracts with terms and conditions, addenda and exhibits, selection and justification statements contractor selection statements, certificates of compliance with tax laws, statements as to availability of local service, contract change orders, bids and agreements, advertisements for bids, and instructions to bidders.

Retention: 5 years; destroy.

Orders – Acknowledgments

Retention: As long as administratively valuable.

Receiving Records

Records document the receipt of equipment, supplies, and other items and services from vendors and include packing slips, shipping and container lists, bills of lading, and documentation of claims for non-receipt and/or damage.

Retention: 5 years.

Storehouse (and other Internal Distribution) Supporting Records

Records document the quantity and value of supply items. Records may include activity reports, cost and value reports, supplies inventory lists and ledgers, and other related reports, documentation, and correspondence.

Retention: 3 years; destroy.

Supplies Inventory

Records document the quantity and value of supply items. Inventory held by storehouse as well as departments/units is included. Records may include activity reports, cost and value reports, departmental supplies inventory forms, supply lists and ledgers, and other related documentation, and correspondence.

Retention: 5 years; destroy.

Vendor Data

Records used for quick reference of vendor data. Records may include but are not limited to reports containing vendor numbers. Payee names, invoice numbers, and amounts, extra copies of purchase orders or requisitions, packing slips, promotional and advertising materials, product specification sheets, address and contact information, and related documentation and correspondence.

Retention: 5 years; destroy.

Work Orders Records

Records document requests and authorizations for needed services and/or repairs to institutional property and equipment. Records may include but are not limited to printing orders, photographic work orders, and display preparation orders.

Retention: 4 years; destroy.

REGISTRAR RECORDS

Governing authorities: Family Educational Rights & Privacy Act of 1974, federal, state and AACRAO.

Electronic Residency Application Service (ERAS) and Centralized Application Service for Podiatric Residencies (CASPR) and Optometry Residency Match (ORMatch) Records

Retention: 1 year after cycle closes.

Family Educational Rights and Privacy Act (FERPA) Records

Records document 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 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, waivers for rights of access, and related documentation and correspondence.

Retention: a) Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access.
b) Life of the affected record for all other records.

Grades Records

Official academic grades awarded to students by professors and instructors for the term.

Retention: Permanent.

Letters of Welcome

Retention: 1 year after the students' graduation date.

Student Statistical Reports Records

Records document applicant and enrollment data. Records may include reports pertaining to college registration, geographical distribution of students, feeder schools, grade point averages, and college undergrad majors.

Retention: a) Permanent for summary and annual reports.
b) 3 years for all other records.

Transcript Requests

Retention: 1 year.

Transcripts (official)

Official student academic transcripts show name, years of attendance, courses attended, grades, major and further academic achievements.

Retention: Permanent.

Verification Records

Retention: 1 year.

Veterans Records

Records related to student enrollment for federal/state military benefits such as application, copies of discharge form DD214, VA eligibility certificates, study grants, VA vocational rehabilitation agreements, VA fee vouchers, correspondence, and related records that support the admission process.

Retention: a) End of Benefit award year +5 years.
b) Date of application +2 years for veterans not enrolled.

RISK MANAGEMENT RECORDS

Certificates of Insurance/Coverage Renewal Information

Evidence of coverage documents and renewal information outlines the type of limits of insurance.

Retention: 5 years; destroy.

Credentialing Insurance Verification Requests

Request for proof of insurance for employees and past students.

Retention: Maintained for the calendar year in which the claim is closed +4 years; destroy.

Employee Injury Reports (copy only)

Request for proof of insurance for employees and past students.

Retention: Maintained for the calendar year in which the claim is closed +4 years; destroy.

Fiscal Financial Reports

Records document reports of financial results.

Retention: 5 years plus current year; destroy.

Hold Harmless, Liability Waiver and Release Records

Records document the release of the institution or administrative unit from liability related to various activities involving students, faculty, or staff. Activities may include club/college/department events such as sponsored student club activities, health fairs, and faculty/staff activities. Records may include hold harmless, waiver, and release forms, related documentation and correspondence.

Retention: 6 years after the end of the event or activity for which the waiver was signed; destroy.

Insurance Bids/Proposals

Records contain bid proposals from insurance carriers received as part of insurance placement process. Records may include requests for proposals, bids and bid specifications, quote lists, notices of bid opening and award, comparisons summaries, spreadsheets, tabulation worksheets, bid advertising records, tally sheets, bid specifications, vendor information, and correspondence.

Retention: 5 years; destroy.

Insurance Policies (Liability, property, other)

Records document insurance policies and contain detailed descriptions of coverage provided by insurance carriers. Records may include but are not limited to copies of insurance policies, riders, endorsements, list of carriers, coverage limits and premiums, and related documentation and correspondence.

Retention: Permanent (Maintained by insurance broker.)

Incident and Accident Reports

Records document the initial report of injury. Files may contain complete liability investigation reports, including damage reports, repair orders, estimates, adjuster claims, and supporting documentation.

Retention: 7 years; destroy.

Insurance Premium Payments

Retention: 2 years.

Litigation Records

Records document litigation brought against the University.

Retention: a) Permanent for records of causes resulting in major policy modification, pleadings, final decisions, copies of court cases considered historical, and summary statements.
b) 6 years after final decision for all other records.

Loss Runs

Records of losses/claims from a specific insurance carrier.

Retention: 10 years; destroy.

Volunteer and Intern Records

Records document volunteer data and include letters of interest, description of responsibilities/activities, anticipated hours, resumes, and related documentation.

Retention: 3 years; destroy.

STUDENT ACADEMIC RECORDS

Academic Standing Reports (college)

Records document student academic standing, including academic deficiency and status changes of academically deficient students. Records may include but are not limited to reports containing student names, grade point averages, grade point deficiencies and numbers of previous suspensions and probations, student petitions for a re-evaluation, report of student progress toward academic re-admission/removal of probation status, academic honors and awards, and related documentation and correspondence.

Retention: 3 years.

Change of Grade Records

Records provide evidence of a legitimately changed final course grade.

Retention: 5 years; destroy.

Class Gift Records

Records document gifts given to the institution by senior classes. Records may include but are not limited to gift lists, gift histories, a gift placement arrangements, and related documentation and correspondence.

Retention: Permanent for histories and placement arrangements.

Class Lists Records

Records document official record of students enrolled in courses taught. Information in the series includes student names, Student ID Number, term, and enrollment/registration status.

Retention: 1 term; destroy.

Class Schedules (students)

Student schedules for each term.

Retention: 1 year; destroy.

Clinical Practice Records

Records document the administration of student clinical experience programs. Records include applications, agreements, evaluations, licensure exam scores, and related documentation and correspondence.

Retention: 50 years after graduation or date of determination of non-attendance.

Correspondence (students)

Records related to academic records, inquires.

Retention: 1 year; destroy.

Course Repeat Approval Form

Forms requesting and/or granting approval to repeat a course for credit. Document includes reasons for repeating the class.

Retention: Date of submission +1 year; destroy.

Course Wait List

Records consist of lists of students waiting for an enrollment opening in an individual course that has reached its maximum class size. Lists may be generated by academic departments or individual instructors. They may be used to give preference to waiting students in the following semester or determine the need for more sections of the class.

Retention: End of semester in which list was created +1 year.

Degree Audit Records

Degree audits in support of graduation clearing.

Retention: 5 years; destroy.

Degree Candidate Lists

Records provide documentation of students eligible for degree confirmation.

Retention: Permanent after approval by the Board of trustees. Send a copy to the University Archives.

Degree Completed Records (college)

Records document students' academic progress resulting in completion of degrees. Records may include grades awarded to students for the term, degrees conferred, grade lists, academic standing, grade point averages, dissertation/thesis committee notes, official graduation audit, program advisor's report, advancement to candidacy, and related documentation and correspondence.

Retention: 20 years after degree completed. Official student record maintained by the Registrar.

Degree Uncompleted Records

Records document composition of dissertation/thesis committee, abstract of thesis or dissertation, petitions for changes or exemptions, leave requests, program advisor's report, advancement to candidacy forms, and related documentation and correspondence.

Retention: a) 25 years after last enrollment for doctoral students.
 b) 10 years after last enrollment for masters students.

Diploma Mailing Verification Records

Records document students' requests to have diplomas and other graduation records distributed to specific addresses. Records include signed cards listing permanent addresses for diplomas to be mailed to, fees paid, degree granted, and dates of requests.

Retention: Date of graduation +1 year; destroy.

Disability Records

Records document students' participation in services provided by the Center for Disability & health Policy. Records may include but are not limited to documentation of a student's disability, health professional's evaluations, recommendations for student applicants, transcripts, correspondence, orders for special equipment, and notes from interactions with CDHP staff and counselors.

Retention: 5 years after graduation or date of last contact; destroy.

Disciplinary Action Records

Records document notice of academic action related to academic non-performance or deficiency. Records include academic warnings and suspensions.

Retention: a) 5 years after date of last attendance for warnings.
b) 10 years for cases involving suspensions.

Enrollment Changes

Record of student add/drop or withdraw from courses after the registration deadline.

Retention: 1 year; destroy.

Family Educational Rights and Privacy Act (FERPA) Documents

Records document the process of student information release requests and consent authorizations or denials. Records may include 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, waivers for rights of access, and related documentation and correspondence.

Retention: Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access.

Fellowships and Scholarships

Notices of fellowship and scholarship opportunities, nominations of candidates and results, either individual or lists.

Retention: 3 years from date of last attendance; transfer to the University Archives for appraisal.

Grade Appeal

Student final grade disputes and complaints.

Retention: 1 year after course completion; destroy.

Grade Change Documentation

Documentation completed by the instructor of the relevant course and signed by the appropriate dean supporting an approved change of a previously assigned course grade.

Retention: Date of submission +5 years; destroy.

Grade Records (academic department)

Records document grades received by students for course work. Records may include grade confirmation reports, grade confirmation and change records, final grade rosters, grade lists, academic standing, grade point averages.

Retention: 1 year from last day of term. Registrar retains permanent record.

Graduation Lists

Lists of graduates for graduating classes.

Retention: Permanent. Send a copy to the University Archives.

Grievances (not grade disputes)

Records document grievances brought forward by students against the institution 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, final statements, settlement agreements, appeals documentation and related records.

Retention: a) 3 years after last enrollment for appealed grievances.
 b) 3 years after resolution for grievances not appealed.

Hold or Encumbrance Authorizations

Limitations placed on a student's account due to late payment, late registration, or other reasons due to nonpayment of fees, library fines, parking citations, etc. An encumbrance can prohibit students from registering for classes, affect the release of their transcripts, or delay the reception of their diplomas.

Retention: 1 year after released; destroy.

International Students Records (Prospective and Admitted)

Records document institution assistance to international students who are considering attendance at the institution and those who have been admitted to academic programs. Records may include letters of inquiry from prospective students, official replies to inquiries, copies of visas, scholarship information, institution admissions forms, school applications, transcripts, grade reports, degree completion certificates, recommendations and evaluations, and related documentation and correspondence.

Retention: a) 7 years after last enrollment for matriculates.
 b) 1 year after failure to enroll for non-matriculates.

Leave of Absence

Forms and subsequent records documenting requests for leaves of absence.

Retention: Date of submission +2 years; destroy.

Name Change Authorizations

Forms and subsequent records documenting a name change request and action initiated by a student.

Retention: 5 years after degree completed or last enrollment; destroy.

Petitions (Academic)

Requests for an exception to academic rules regarding required classes, etc.

Retention: Date of submission +4 years; destroy.

Personal Data Information

Change of address, race/ethnicity questionnaires, and other demographic data.

Retention: 1 year after graduation; destroy.

Residency Affidavit Records

Records document declarations filed by students regarding state residency status. Records may include but are not limited to affidavits, correspondence regarding residency, and related documentation.

Retention: 5 years from date status determined; destroy.

Schedules (individual student)

Electronic or paper schedule issued to students recording the classes in which they are enrolled, credits, grading option, location and meeting times of classes, and student information.

Retention: Date of creation +1 year; destroy.

Scholarship Records

Records document the application, recruitment, selection, processing and awarding of private and public scholarships to individual students based upon predetermined selection criteria. Records may include but are not limited to correspondence, applications, disbursement documentation, selection criteria and related documentation.

Retention: a) Until superseded for award selection criteria, application forms, etc.
 b) 6 years after award disbursed for individual awarded scholarships.

Student Conduct Records

Records document violations of student conduct codes and policies, including sanctions. Records may include but are not limited to incident reports, evidence, notifications of allegation, notifications of

decision or outcome, requests for hearings, appeals and pd documentation and correspondence. Notification of academic misconduct and documentation of sanctions or disciplinary action including correspondence, reports, requests for hearing, appeals and petitions.

Retention: a) 50 years from the date of the initial incident that resulted in expulsion, degree revocation, negative notation on the transcript.
 b) 5 years from date of initial incident for all other files.

Student Housing Contracts Records

Records document occupancy in all institution administered housing (residence halls). Records may include but are not limited to housing applications and contracts, proof of admission records, and related documentation and correspondence.

Retention: 6 years after expiration of contract; destroy.

Student Organization Records

Records document the history, development, and policies of campus student organizations and clubs. Records may include but are not limited to applications to form a club, advisor information, annual review forms, minutes constitutions and bylaws, budgets, handbooks, officer and member rosters, scrapbooks, photographs, and related documentation and correspondence.

Retention: Permanent.

Thesis/Dissertations Records

This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges as part of the requirement for a conferred degree. This series includes but is not limited to final and accepted copies of theses and dissertations and final and terminal projects.

Retention: Permanent. Send 1 copy to the University Archives.

Transcript Hold or Encumbering Authorization Records

Records document holds on transcripts and academic reporting information. This series consists of forms authorizing the holding of academic records and information until a specific action is taken by the subject of the academic records.

Retention: 1 year; destroy.

Transcripts (student request)

Documentation recording student requests for official copies of transcripts. Records include student information, number of copies requested, fee status, and desired transcripts (official or unofficial).

Retention: 1 year; destroy.

Transfer Credit Evaluations

Forms that evaluate the credits an individual student previously earned at another institution bases on transfer equivalencies and used to determine actual student credit transfers.

Retention: Date of submission +5 years; destroy.

Visiting Scholar Program Records

This series documents a program which allows one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include but is not limited to advertisements, applicant data, arrangements and schedules, publicity and news clippings, transcripts, scholarly activities documentation and related correspondence.

Retention: Permanent except for arrangements and schedules.

Withdrawal Authorizations

Documentation includes forms completed by students to officially withdraw from all classes after the last day to withdraw from individual classes. Records also include the records of the decision of the granting authority.

Retention: Date of submission +5 years; destroy.

Veterans Records

Records document the entitlement status and enrollment of veterans in the institution. Records include resident veterans' educational benefits entitlements, individual veteran student records that certify eligibility for educational benefits, qualifying curriculum, and standards required to receive entitlements, attendance reports, and related documentation and correspondence.

Retention: Date of graduation +3 years or non-attendance; destroy.
