

Montana University System General Record Retention Schedule

General Record Retention Schedule Overview

- I. **Introduction.** The General Records Retention Schedule (General Schedule) of the Montana University System governs the management and disposition of university records.

The majority of records listed on this General Schedule are common to many units across campuses.

- II. **Purpose.** The purpose of General Schedule is to create a uniform set of schedules for the retention and disposition of records, created or maintained in the course of university business, that document each institution and its functions, policies and procedures, decisions and other activities.
- III. **Records and Public Records.** A **record** is defined as information in any form or medium (including electronic records and electronic mail) that is within the campus's control and relates to its activity or business. Recorded information that is personal and not related to the business of the unit is not a record.

As public institutions of the state of Montana, many of the records of Montana University System campuses may also meet the definition of a **public record** under Montana law. A “**public record**” is “any paper, correspondence, form, book, photograph, microfilm, magnetic tape, computer storage media, map, drawing or other document, including all copies thereof, regardless of physical form or characteristics” that has been created or received by a campus “in connection with the transaction of official business.” It includes “all other records or documents required by law to be filed with or kept” by a state agency or local government. Records that are “for reference purposes only, a preliminary draft, telephone messages, routing slips are not considered public records and need not be maintained. [General Records Retention Schedule 9](https://sosmt.gov/records/) at provides a detailed list of documents that are not considered public records.” (<https://sosmt.gov/records/>)

Electronic mail, or e-mail, “sent or received in connection with the transaction of official business” may also be considered a public record. For more information about managing e-mail, see [Email Records Retention Guideline](#).

- IV. **Campus responsibilities.** All campuses should familiarize themselves with the General Schedule and have an understanding of what records—paper-based and electronic—they create and/or receive and are required to manage.

Individual departments or units within a campus may wish to conduct an inventory of their records and map them to the General Schedule. If a unit identifies records that do not map to the General Schedule, the unit may need to develop a unique record retention schedule for those records. All new and unit unique schedules must be in writing and approved by the legal counsel for the campus.

V. **Rules of Application.**

- The office of origin/creation is responsible for retention of the record series for the minimum length of retention, unless the campus assigns responsibility for certain records to another office.
- If a record appears to fit in more than one category, apply the narrowest category.
- If no category fits, look for an analogous category and follow its guidance.
- When in doubt, err toward a longer retention period.
- The retention periods in the schedule are minimums and also recommended as appropriate maximum retention periods.
- If a federal or state statute or regulation specifies a longer retention period for any type of record received, created, or maintained by MUS campuses, the statute or regulation or litigation hold overrides this schedule. The official record holder for the record should be familiar with any statutes or regulations that may apply to the unit’s records. If any record holder is unsure of the applicability of any statute or regulation, the record holder may contact Legal Counsel.
- Records should be promptly and orderly disposed of at the end of their retention period. Keeping records longer than the retention period poses financial, legal, audit and investigative risks to the campus.
- Upon notice of a legal investigation, audit, dispute, or claim; receipt of a litigation hold or upon service of legal process through subpoena, summons or other means for delivery of records, all scheduled destruction of records related to the matter shall be immediately suspended and destruction of the records would not occur until the matter is fully resolved and finalized.

VI. Retention and Disposition Terminology.

- *Active* = Retain while in active use.
- *Archival Review* = Record series that have content of value to documenting the institution's history should be considered for permanent retention. If retention is warranted, files may be maintained by office of origin or designated archival repository. Records that contain authentic evidence of a campus's organization, function, policies, decisions, procedures, operations, or other activities are examples of records with historical value. This type of information may be found in policy records, organizational documents, memos, correspondence, and reports. If a series is not marked for archival review, it still may be appropriate to consider review if the records have unique or important historical value.
- *CY* = Current Fiscal Year. The fiscal year begins July 1st and ends the following June 30th.
- *T/S/D* = Toss/Shred/Delete at end of retention period. If the series or item contains restricted information, the records must be destroyed in a secure manner such as incineration, shredding or secure electronic destruction. If the material does not contain restricted information, the records may be destroyed by placing in trash or recycling (preferred), or via electronic destruction, or by a secure method.
- *Record Retention Schedule* = A record retention schedule provides the framework for an effective record management program. It provides the basis for decisions related to minimum record retention and approved dispositions of records. The General Schedule is intended to provide guidance for consistent record keeping across the campuses of the MUS.
- *Permanent* = Record series determined to have demonstrated historical, legal or administrative value to a particular unit on campus that will be maintained permanently.
- *Until Superseded* = Retain until superseded or obsolete. This retention period pertains to documents that are routinely updated and therefore superseded by the current version.

VII. Resources Consulted:

American Association of Registrars and Admissions Officers. *Retention, Disposal, and Archive of Student Records*. (2013).
[Montana Code Annotated.](#)
[State of Montana Records & Information Management.](#)

Montana University System General Record Retention Schedule

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Note: within this General Schedule the acronym GRRS refers to the [General Records Retention Schedules](#) maintained by the Montana Secretary of State. The acronym MCA refers to the [Montana Code Annotated](#).

ACADEMIC RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
1	Course Catalog / Bulletin	Course catalogs or bulletins that include course offerings, program requirements, and related policies and procedures.	Active	Permanent
2	Course Evaluation Records	Records of students' evaluations of teaching personnel and courses.	CY + 10 yrs.	Toss/Shred/Delete
3	Course Schedule	Record of courses actually held / given by the institution	CY + 1 yr.	Archival Review
4	Course Syllabi	Syllabi of offered courses.	CY + 10 yrs.	Toss/Shred/Delete
5	New Degree Program and Course Proposal Records	Records of the development of new degree programs, courses and related curricula.	CY + 5 yrs.	Archival Review
6	Program Review and Development Records	Internal and external review of academic programs	CY + 5 yrs.	Archival Review
7	Student Handbooks	Records of the requirements, policies, and offerings of specific instructional units for use by current or potential students.	Active	Archival Review

ACCOUNTING AND FINANCIAL RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
8	Accounts Payable and Accounts Receivable Documentation	Records related to payment of financial obligations.	CY + 5 yrs. (GRRS 2)	Toss/Shred/Delete <i>No RM-5 Required (OCHE ONLY)</i>

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
9	Annual Financial Reports	Consolidated year-end report of financial documentation showing assets and liabilities.	CY + 4 yrs.	Archival Review
10	Budgets	Approved annual or other periodic budgets for the institution.	CY + 5 yrs.	Archival Review
11	Cash, Check and Credit Card Transactions	Records of payments, including forms and receipts.	CY + 5 yrs.	Toss/Shred/Delete
12	Credit Card (Procurement Card) Administration Records	Records of administration of credit cards issued to institutional staff and units.	CY + 6 yrs.	Toss/Shred/Delete
13	Delivery Slips	Documents sent with purchased goods indicating items shipped	CY + 3 yrs.	Toss/Shred/Delete
14	Hold or encumbrance authorizations	Registration and transcript holds	Last year of enrollment + 3	Toss/Shred/Delete
15	Interdepartmental Billing	Records of charges owed by internal institutional departments and functions to other departments.	CY + 5 yrs.	Toss/Shred/Delete
16	Miscellaneous Accounting Reports	Records of the production of various accounting reports made by individual offices or departments on a periodic basis.	CY + 6 yrs.	Toss/Shred/Delete
17	Procurement Records	Purchase orders and contracts for successful procurement / awarding of bids.	Contract expiration + 8 yrs. (GRRS 4)	Toss/Shred/Delete <i>No RM-5 Needed OCHE Only</i>
18	Procurement Solicitations	Records of the process and completion of solicitation.	Solicitation Complete + 4 yrs.	Toss/Shred/Delete <i>No RM-5 Needed OCHE Only</i>
19	Ticket Sales and Event Cash	Records of the printing, selling, distribution, and accounting of tickets for institution-sponsored athletic,	CY + 5 yrs.	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
	Reconciliation Records	performing arts, and other events where a price is charged for admission.		
20	Travel Reimbursement Documentation	Documentation maintained in support of reimbursement to university employees for university related travel.	CY + 4 yrs.	Toss/Shred/Delete

ADMINISTRATIVE RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
21	Accreditation Files	University, college or department files documenting accreditation review by accrediting agencies.	CY + 10 yrs.	Archival Review
22	Administrative and Annual Reports	Reports on the institution and its subdivisions. (<i>This category does not include audits or annual financial reports.</i>)	CY + 3 yrs.	Archival Review
23	Audit Records	Reports on internal and external audits of various institutional functions, including fiscal, performance, academic, athletic, and compliance audits.	CY + 4 yrs.	Archival Review
24	Awards Records	Records of the process of selecting institutional faculty, staff, students, and alumni to receive awards, scholarships, and merit-based fellowships, including list of award recipients.	CY + 3 yrs.	Archival Review
25	Contracts and Agreements	Legal contracts or agreements that the institution or its units enter into with other entities.	Contract expiration + 8 yrs. (MCA 27-2-202)	Toss/Shred/Delete
26	Delegation of Authority	Records of the certification of the institution's employees who are authorized to sign fiscal and contractual documents.	End of authorization + 1 yr.	Toss/Shred/Delete
27	Election Records	Records of elections held by institutional organizations.	CY + 3 yrs.	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
28	General Files, Upper Administration	Files of presidents, chancellors, upper-level administrators, deans, directors, and chairs.	CY + 3 yrs.	Archival Review
29	Gift Records	Records of realized funding of the institution, whether from private individual or corporate sources.	Active	Permanent
30	Grievance Records	Records of grievances against the institution which are resolved without litigation. <i>(This category does not include grievances by students.)</i>	CY + 3 yrs.	Toss/Shred/Delete
31	Insurance Policy Records	Records of insurance maintained by the institution.	Active + 5 yrs. (GRRS 3-7)	Toss/Shred/Delete <i>No RM-5 Needed OCHE Only</i>
32	Legal Case Records	Records of legal disputes involving the institution.	Final decision + 5 yrs.	Archival Review
33	Minutes and Agendas	Minutes and agendas of boards, committees, councils, senates, major committees, task forces, and other institutional units and organizations.	CY + 3 yrs.	Archival Review
34	Organizational Charts	Organizational Charts	Active + 10 yrs.	Archival Review
35	Policies and Procedures Records	Records of institutional and unit policies and procedures and the sources and process of policy creation.	Until Superseded	Permanent
36	Public Records Requests	Records of public requests for information.	Last action + 3 yrs.	Toss/Shred/Delete
37	Publications	Includes newsletters, news releases, publicity photographs and brochures.	Active + 1 yr.	Archival Review
38	Radio and Television License Records	Records of licensing of institutional radio stations and television channels with the Federal Communications Commission.	License expiration + 3 yrs.	Toss/Shred/Delete
39	Strategic and Institutional Plans	Records of the development of short-term or long-term plans for the institution.	Until Superseded	Permanent
40	Trademark Records	Records documenting campus-owned trademarks	Active	Permanent

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
41	Transient Materials	Documents, including telephone messages, notes, drafts and other materials, which serve to convey information of temporary value.	Active	Toss/Shred/Delete
42	Unit/Institution/ Organization History	Records of the historical development of the institution, its units, or organizations associated with it.	Active	Archival Review
43	Video and Sound Recordings	Records in video or audio format of institutional activities and events with significant relevance to the mission of the institution or an individual unit.	Active	Archival Review

FACILITIES, EQUIPMENT AND PROPERTY RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
44	Building and Construction Documentation	Records of construction of the institution's building and grounds.	Active	Permanent
45	Equipment Inventory Records	Inventories of major equipment.	Active + 3 yrs.	Toss/Shred/Delete
45	Government Property Records	Records of "agency-owned" (usually federal) properties loaned to the institution, or agency-owned property purchased with (usually federal) non-institutional state funds for research contract use. Records may include copies of federal form DD 1419; memoranda of understanding or agreements, and other related documentation.	Active + 3 yrs.	Toss/Shred/Delete
46	Motor Vehicle Records	Records of titles, maintenance and usage.	Active + 6 yrs.	Toss/Shred/Delete
47	Operating and Maintenance Records	Records of the operations and maintenance of institutional utilities.	CY + 10 yrs.	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
48	Real Estate Records	Records of real property acquired and sold by the institution.	Active + 8 yrs.	Permanent
49	Real Property Leases	Records of real property leased by the institution.	Active + 8 yrs.	Toss/Shred/Delete
50	Surplus Property Records	Records of changes in institution-owned property; requests to declare items surplus, salvage, or scrap; removal and sale or disposal of excess equipment and other surplus items including proceeds from sales.	CY + 6 yrs.	Toss/Shred/Delete
51	Work Orders Records	Records of requests and authorizations for needed services and/or repairs to institutional property and equipment.	CY + 2 yrs.	Toss/Shred/Delete

FEDERAL STUDENT FINANCIAL AID (SFA) RECORDS

Student Financial Aid - Program Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
52	Accrediting and licensing agency review, approvals, and reports		Award year + 3	Toss/Shred/Delete
53	Audit reports and school responses		Award year + 3	
54	Records pertaining to financial responsibility and standards of administrative capability		Award year + 3	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
55	Program Participation Agreement		Award year + 3	Toss/Shred/Delete
56	Self-evaluation reports		Award year + 3	Toss/Shred/Delete
57	State agency reports		Award year + 3	Toss/Shred/Delete

Student Financial Aid - Fiscal Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
58	Bank statements for accounts containing SFA funds		Award year + 3	Toss/Shred/Delete
59	Federal work-study payroll records		Award year + 3	Toss/Shred/Delete
60	Ledgers identifying SFA transactions		Award year + 3	Toss/Shred/Delete
61	Records of SFA program transactions		Award year + 3	Toss/Shred/Delete
62	Records of student accounts		Award year + 3	Toss/Shred/Delete
63	Records supporting data on required reports (SFA program		Award year + 3	Toss/Shred/Delete

	reconciliation reports, audit reports and school responses, Pell Grant statements of accounts, accrediting and licensing agency reports)			
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Student Financial Aid - Recipient Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
64	Application data submitted to the Dept. of Education or lender by the school on behalf of the student		Award year + 3	Toss/Shred/Delete
65	Data used to establish student's admission, enrollment status, and period of enrollment		Award year + 3	Toss/Shred/Delete
66	Date and amount of disbursements		Award year + 3	Toss/Shred/Delete
67	Documentation of student's eligibility		Award year + 3	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
68	Documentation of student's satisfactory academic progress		Award year + 3	Toss/Shred/Delete
69	Documentation of student's program of study and enrolled courses		Award year + 3	Toss/Shred/Delete
70	Documentation related to the receipt of aid, such as the amount of grant, loan or FWS award, and calculations used to determine aid amounts		Award year + 3	Toss/Shred/Delete
71	Documentation of initial or exit loan counseling		Award year + 3	Toss/Shred/Delete
72	Documentation supporting the school's calculation of its completion/ graduation or transfer-out rate		Award year + 3	Toss/Shred/Delete
73	Documents used to verify applicant's data		Award year + 3	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
74	Financial aid history for transfer students		Award year + 3	Toss/Shred/Delete
75	Reports and forms used for participation in the SFA program		Award year + 3	Toss/Shred/Delete
76	Student Aid Report (SAR) or Institutional Student Information Record (ISIR)		Award year + 3	Toss/Shred/Delete

Student Financial Aid - Requirements for Specific Aid

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
77	Borrowers eligibility records		Last date of attendance + 3	Toss/Shred/Delete
78	Campus-based aid (Perkins loan, SEOG, and Federal Work Study)		End of award year + 3	Toss/Shred/Delete
79	FFEL and Direct Loans		End of award year + 3	Toss/Shred/Delete
80	Fiscal Operations Report and Application to Participate (FISAP)		Date of report submission + 3	Toss/Shred/Delete
81	Pell Grant		End of award year + 3	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
82	Perkins repayment records		Date loan assigned, cancelled or repaid + 3	Toss/Shred/Delete
83	Perkins original promissory notes		Until loan is satisfied or documents are needed to enforce obligation	Toss/Shred/Delete
84	All other records/reports		End of award year or date of submission + 3	Toss/Shred/Delete

GRANTS AND RESEARCH RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
85	Administration and Facilities Costs	Records of the analysis of grant indirect costs in preparation of the federal F&A rate.	CY + 10 yrs.	Toss/Shred/Delete
86	Biosafety	Records of activities involving recombinant or synthetic nucleic acid.	Activity Completed + 3 years	Toss/Shred/Delete
87	Conflict of Interest Disclosures	Records of conflicts of interest disclosures concerning University research and entrepreneurial activities.	Activity Completed + 7 years	Toss/Shred/Delete
88	Grants - Funded	Records of funded grant proposals.	Expiration/Termination of agreement + 5 yrs., unless otherwise specified in the award agreement.	Toss/Shred/Delete

89	Grants - Unfunded	Records of unfunded grant proposals.	Submission + 18 mos.	Toss/Shred/Delete
90	Institutional Research Project Records	Records of the activities of institutional research projects, including the review and approval process by institutional councils and boards. Research projects include but are not limited to human, animal, or biosafety projects.	Project completed + 3 yrs.	Toss/Shred/Delete
91	Institutional Animal Care and Use Records	Records that document the care and proposed use of animals by the institution for research purposes.	Activity completed + 3 yrs.	Toss/Shred/Delete
92	Laboratory Notebooks	Records of the routine research activities of non-grant funded research projects.	Project completed + 6 yrs.	Toss/Shred/Delete
93	Laboratory Reports	Records of the results of laboratory testing performed for clients.	Report date + 6 yrs.	Toss/Shred/Delete
94	Misconduct Records	Records of accusations of misconduct brought forward by or against faculty or students and relating to research projects.	Term of project + 7 yrs. Or Litigation + 1 yr., whichever is longer	Toss/Shred/Delete
95	Payment Records	Records of requests and justification for transfers of direct payment funds from federal or other external grantors.	CY + 10 yrs.	Toss/Shred/Delete
96	Research Records	Records of the research activity associated with grant-funded projects.	Account closed + 10 yrs.	Toss/Shred/Delete
97	Sponsored Programs Records	Records of the establishment and administration of individually sponsored grant/contract restricted funds accounts and of compliance with fiscal reporting requirements.	Account closed + 10 yrs.	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
98	Technology Transfer Records	Records of the transfer of technology, patents, copyright, etc. from the institution to outside entities.	Active + 6 yrs.	Archival Review

HEALTH SERVICES RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
99	Communicable Disease Records	These records fulfill the public health requirement of reporting the discovery of communicable disease.	CY + 5 yrs.	Toss/Shred/Delete
100	Counseling, Psychological, and Psychiatric Case Records	Records of clients who are provided counseling, psychological, and psychiatric services through the institution's counseling center.	Last contact + 7 yrs.	Toss/Shred/Delete
101	Health History Forms	Records of a student's medical history.	Last service + 7 yrs.	Toss/Shred/Delete
102	Licensure Records	Records of the professional and regulatory issuance of credentials to individuals and facilities providing services within the student health center.	Later of CY + 4 yrs. or until superseded	Toss/Shred/Delete
103	Medical Records	Records of the medical services history provided for patients.	Later of last service + 7 yrs. or client reached age 21	Toss/Shred/Delete
104	Patient Logs	Records of patients who visit the student health center.	CY + 3 yrs.	Toss/Shred/Delete
105	Pharmacy Prescription Dispensation Records	Records of drug dispensations (initial and refills) administered.	CY + 5 yrs.	Toss/Shred/Delete
106	Student Health Insurance Records	Records of students' insurance coverage activity under institution insurance policies.	CY + 3 yrs.	Toss/Shred/Delete

107	X-rays	Records of student X-rays, including a log of X-rays going out and coming in for professional reference and other related documentation.	Last service + 7 yrs.	Toss/Shred/Delete
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HUMAN RESOURCE RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
108	Affirmative Action Plan Records	Records of the campus Affirmative Action Plan and related records regarding application self-identification, evaluations of effectiveness, recruitment and outreach efforts , benchmark goals.	Active + 3yrs.	Archival Review
109	Anti-Discrimination	Records of internal complaints of discrimination, investigative records, and records related to the incident complained of.	Active + 5 yrs.	Archival Review
110	Background Check Records	Background check records related to employment and any other background check records required under campus policies	End of employment or date of background check (for non-employees) + 5 yrs.	Toss/Shred/Delete
111	Bargaining Unit Records	Records of negotiations and contractual agreements between the institution and a bargaining unit.	Active + 10 yrs.	Archival Review
112	Employee Education and Training Records	Records of employees' continuing education and training.	End of employment + 10 yrs. (GRRS 5)	Toss/Shred/Delete <i>No RM-5 Needed OCHE Only</i>
113	Payroll Records	Records of the administration of employee paychecks. Records may include payroll check registers, check delivery logs, direct deposit authorization forms, payroll request forms, pay action forms, pay reduction notices, emergency payroll draw forms, and other related documentation and correspondence.	End of employment + 10 yrs.	Toss/Shred/Delete

114	Personnel Record	Records of employees' work history at the institution, including formal evaluation and disciplinary records.	End of employment + 10 yrs.	Archival Review
115	Position Descriptions	Records of job descriptions for staff and faculty positions, as well as reclassification of position descriptions.	After Superseded + 2 yrs. (GRRS 5)	Toss/Shred/Delete <i>No RM-5 Needed OCHE Only</i>
116	Recruitment Records	Records of review of all stages of hiring by the institution.	Active + 3 yrs. (GRRS 5)	Toss/Shred/Delete <i>No RM-5 Needed OCHE Only</i>
117	Sabbatical Leave Records	Records of sabbatical leave activities of institution faculty.	End of leave + 5 yrs.	Toss/Shred/Delete

INFORMATION MANAGEMENT RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
118	Computer System Security Records	Records of the security of an institution, department, or office computer system.	Until superseded + 3 yrs.	Toss/Shred/Delete
119	Help Desk Logs and Reports	Records used to document requests for assistance and responses to those requests	4 yrs. (GRRS 6)	Toss/Shred/Delete <i>No RM-5 Needed OCHE Only</i>
120	Information System User Access Records	Records created to control individual access to a system for administrative and security purposes.	Active + 3 yrs. (GRRS 6)	Toss/Shred/Delete <i>No RM-5 Needed OCHE Only</i>
121	Information Systems Backup Files	Copies of master files or databases, application software, logs, directories, and other documentation maintained solely for business continuity and disaster recovery purposes.	90 days	Toss/Shred/Delete
122	Information Systems Equipment Support Files	Information on data processing equipment, software, and other products and their vendors.	Active + 3 yrs.	Toss/Shred/Delete
123	Usage Files	Records created to monitor computer system and network usage.	90 days	Toss/Shred/Delete

INSTITUTIONAL SERVICES RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
124	Bicycle Licenses / Permits Records	Records of the registration of bicycles on campus. Records may include registration cards, and other related documentation.	Active + 3 yrs.	Toss/Shred/Delete
125	Child and Youth Program Participant Records	Records of the participation of children and youth in programs sponsored by the institution.	CY + 6 yrs.	Toss/Shred/Delete
126	Events Administration Records	Records of planning, facilities, services, and accommodations for major events on campus.	CY + 3 yrs.	Toss/Shred/Delete
127	Key Issuance Records	Key assignments and deposits (if applicable) for institutional faculty, staff, students, and others using the institution's facilities.	Key returned + 1 yr.	Toss/Shred/Delete
128	Parking Records	Records of the regulation of on-campus parking, including citations.	Resolution + 1 yr.	Toss/Shred/Delete
129	Postal and Shipping Records	Records of items that are mailed by the department via UPS, U.S. Postal Service, Federal Express, or another carrier.	CY + 3 yrs.	Toss/Shred/Delete

INTERCOLLEGIATE ATHLETICS RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
130	Athletic Scholarship and Grant -in-Aid Award Records	Records pertaining to player eligibility and receipt of financial aid in the form of scholarships.	CY + 6 yrs.	Toss/Shred/Delete
131	Athletic Eligibility Records	Records of verification by intercollegiate athletics of student athletes' academic.	CY + 6 yrs.	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
132	Competition Record Forms	Records of individual games and competitions.	CY + 6 yrs.	Toss/Shred/Delete
133	Game Arrangement Records	Records of arrangements made for and the schedules of past games.	CY + 5 yrs.	Toss/Shred/Delete
134	Game Statistics	Records of playing and attendance statistics pertaining to each game and the season for each sport by playing year.	CY + 6 yrs.	Archival Review
135	Individual Athletes Records	Records of the athletic history of each athlete who has competed at the institution.	CY + 6 yrs.	Archival Review
136	Insurance Records	Records of medical treatment services rendered off campus for practice or playing related injuries or illnesses which are eligible for partial payment by institutional athletic insurance.	Last year of enrollment + 7 yrs.	Toss/Shred/Delete
137	NCAA / NAIA Compliance Records	Athletics compliance records	CY + 6	Toss/Shred/Delete
138	Sports Merchandising Records	Records of the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events.	CFY + 4 yrs.	Toss/Shred/Delete
139	Student Athletes Academic Advising Records	Records of academic advising of prospective and current student athletes.	Last year of enrollment + 6 yrs.	Toss/Shred/Delete
140	Student Athletes Medical Records	Records of the medical history of each athlete before and during his/her attendance at the institution.	Last year of enrollment + 7 yrs.	Toss/Shred/Delete

LIBRARIES, ARCHIVES, MUSEUMS, AND OTHER COLLECTIONS RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
141	Appraisal Records	Records of monetary value appraisals completed by private parties for artifacts, objects, and collections held by the institution.	Active	Permanent
142	Collection Records	Collection records, including acquisition documentation, deeds of gift, and copyright information for items in institutional repositories which are used for research purposes.	Active	Permanent

SAFETY AND SECURITY RECORDS

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
143	Chemical and Hazardous Waste Disposal Records	Records of the receipt, shipment, and disposal of chemical material or hazardous wastes on campus.	Event + 30 yrs.	Toss/Shred/Delete
144	Emergency Plans and Procedures	Records related to emergency planning, and to response and recovery procedures, including reestablishment of data and other services.	Until superseded + 3 yrs.	Toss/Shred/Delete
145	Export Control	Records of export-controlled activities.	Activity Completed + 5 years	Toss/Shred/Delete
146	Incident and Injury Records	Records maintained by the institution of incident, injury or accident.	Final disposition + 3 yrs.	Toss/Shred/Delete
147	Laser Safety	Records of the use of lasers and laser systems.	Activity Completed + 5 years	Toss/Shred/Delete
148	Radiation Safety Records	Records of the licensing of the institution by federal, state, and local agencies to receive, use, store, dispose of, and ship radioactive materials and radioactive hazardous wastes. Records of receipt, handling, shipping, and disposal of radioactive materials or	Active	Permanent

		radioactive hazardous wastes.		
149	X-Ray Safety Records	Records of the design and use of installations with x-ray-generating devices and sealed gamma-ray sources of energies up to 10 MeV for non-medical purposes.	Activity Completed + 3 years	Toss/Shred/Delete

STUDENT RECORDS

Documents for Applicants Who Do Not Enroll - Admission Documents

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
151	Admission letters	Notices of admission, waitlist and denial	Intended Term of Enrollment + 1	Toss/Shred/Delete
152	Correspondence, relevant		Intended Term of Enrollment + 1	Toss/Shred/Delete
153	Waivers of rights of access (admissions)	Waiving right of access to admission letters of recommendation	Intended Term of Enrollment + 1	Toss/Shred/Delete

Documents for Applicants Who Do Not Enroll - Application Materials

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
154	Applications for admission or re-admission	Admission application such as undergraduate, graduate, international or non-degree/special admittance	Intended Term of Enrollment + 1	Toss/Shred/Delete
155	Credit by examination	Reports/scores on Advanced Placement, CLEP, PEP, etc.	Intended Term of Enrollment + 1	Toss/Shred/Delete

156	Entrance examination reports/test scores	Standardized test scores, such as ACT/SAT, LSAT, MCAT, GRE, TOEFL	Intended Term of Enrollment + 1	Toss/Shred/Delete
157	Medical Records	e.g., immunization records	Intended Term of Enrollment + 1	Toss/Shred/Delete
158	Letters of recommendation (admissions)		Intended Term of Enrollment + 1	Toss/Shred/Delete
159	Military documents		Intended Term of Enrollment + 1	Toss/Shred/Delete
160	Placement test records/scores		Intended Term of Enrollment + 1	Toss/Shred/Delete
161	Residency classification forms		Intended Term of Enrollment + 1	Toss/Shred/Delete
162	Test scores (other)		Intended Term of Enrollment + 1	Toss/Shred/Delete
163	Transcripts (high school)		Intended Term of Enrollment + 1	Toss/Shred/Delete
164	Transcripts (other colleges)		Intended Term of Enrollment + 1	Toss/Shred/Delete

Documents for Applicants Who Do Not Enroll - International Student Documents

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
165	Alien Registration Receipt Card	Evidence of admissibility as a permanent residency	Intended Term of Enrollment + 1	Toss/Shred/Delete
166	DS-2019	Certificate of eligibility for J1 visa status (formerly IAP-66)	Intended Term of Enrollment + 1	Toss/Shred/Delete
167	Employment Authorization (work permit), if granted		Intended Term of Enrollment + 1	Toss/Shred/Delete

168	I20	Certificate of eligibility for F-1 visa status	Intended Term of Enrollment + 1	Toss/Shred/Delete
169	I94 Card (copy)	Document issued to nonimmigrants; also known as Arrival Departure Record	Intended Term of Enrollment + 1	Toss/Shred/Delete
170	Passport number		Intended Term of Enrollment + 1	Toss/Shred/Delete
171	Statement of Educational Costs	Estimate of total school year costs	Intended Term of Enrollment + 1	Toss/Shred/Delete
172	Statement of Financial Responsibility	Evidence of adequate financial resources	Intended Term of Enrollment + 1	Toss/Shred/Delete

Admissions Records for Applicants Who Enroll - Admission Documents

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
173	Admissions letters (including those programs with a separate admissions process from the general application)	Notice of admission, denial, or waitlist	Last year of enrollment + 5	Toss/Shred/Delete
174	Correspondence (relevant)		Last year of enrollment + 5	Toss/Shred/Delete
175	Waivers of rights of access (admissions)	Waiving right of access to admission letters of recommendation	Last year of enrollment + 5	Toss/Shred/Delete

Admissions Records for Applicants Who Enroll - Application Materials

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
176	Applications for admission or re-admission	Admission application such as undergraduate, graduate, international, or non-degree/special admittance.	First year of enrollment + 5	Toss/Shred/Delete
177	Credit by examination	Reports/scores on Advanced Placement, CLEP, PEP, etc.	First year of enrollment + 5	Toss/Shred/Delete
178	Entrance examination reports/test scores	Standardized test scores, such as ACT/SAT, LSAT, MCAT, GRE, TOEFL	Last year of enrollment + 5	Toss/Shred/Delete
179	Medical Records	e.g., immunization records	Last year of enrollment + 5	Toss/Shred/Delete
180	Letters of recommendation (admissions)		Last year of enrollment + 5	Toss/Shred/Delete
181	Military documents		Last year of enrollment + 5	Toss/Shred/Delete
182	Placement test scores/reports		Last year of enrollment + 5	Toss/Shred/Delete
183	Release from high school or dual enrollment forms		Last year of enrollment + 5	Toss/Shred/Delete
184	Residency classification forms		Last year of enrollment + 5	Toss/Shred/Delete
185	Test scores (other)		Last year of enrollment + 5	Toss/Shred/Delete
186	Transcripts (high school)		Last year of enrollment + 5	Toss/Shred/Delete
187	Transcripts (other colleges)		Last year of enrollment + 5	Toss/Shred/Delete

Admissions Records for Applicants Who Enroll - International Student Documents

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
188	Alien registration receipt card	Evidence of admissibility as a permanent resident	Last year of enrollment + 5	Toss/Shred/Delete
189	DS-2019	Certificate of eligibility for J1 visa status (formerly IAP-66)	Last year of enrollment + 5	Toss/Shred/Delete
190	Employment Authorization (work permit), if granted		Last year of enrollment + 5	Toss/Shred/Delete
191	I-20	Certificate of eligibility for F-1 visa status	Last year of enrollment + 5	Toss/Shred/Delete
192	I94 Card (copy)	Document issued to nonimmigrants; also known as Arrival Departure Record	Last year of enrollment + 5	Toss/Shred/Delete
193	Passport number		Last year of enrollment + 5	Toss/Shred/Delete
194	Statement of Educational Costs	Estimate of total school year costs	Last year of enrollment + 5	Toss/Shred/Delete
195	Statement of Financial Responsibility	Evidence of adequate financial resources	Last year of enrollment + 5	Toss/Shred/Delete

Student Academic Records - Academic Program Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
196	Academic advisement records		Last year of enrollment + 5	Toss/Shred/Delete
197	Academic warning	Notice of academic action related to academic non-performance/deficiency	Last year of enrollment + 5	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
198	Academic suspension	Notice of academic action related to academic non-performance/deficiency	Last year of enrollment + 5	Toss/Shred/Delete
199	Academic dismissal	Notice of academic action related to academic non-performance/deficiency	Last year of enrollment + 5	Permanent
200	Academic integrity code violations (with sanctions)	Notice of violation of academic integrity policies including sanctions, if any	Last year of enrollment + 5	Permanent
201	Academic Records (miscellaneous)	Narrative evaluations, competency assessments, etc.	Last year of enrollment + 5	Permanent
202	Correspondence (student)	Related to academic records, inquiries	Last year of enrollment + 5	Toss/Shred/Delete
203	Disciplinary action records	Grade or program actions, notice of sanctions related to personal conduct	Last year of enrollment + 5	Toss/Shred/Delete
204	Grievance/ complaint (by student)	Various course/exam related issues, not grade or FERPA disputes.	Last year of enrollment + 5	Toss/Shred/Delete
205	Leave of absence		Last year of enrollment + 5	Toss/Shred/Delete
206	Major changes, certification of 2 nd majors, minors		Current Term + 1	Toss/Shred/Delete
207	Petitions (academic)	Exceptions to academic rules	Last year of enrollment + 5	Toss/Shred/Delete
208	Thesis/Dissertation		Active	Permanent
209	Transcripts	Permanent academic record	Active	Permanent

Student Academic Records - Certification/Verification Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
210	Enrollment verifications	Verifications of enrollment, graduation, GPA, and other related academics	Current Term + 1	Toss/Shred/Delete
211	Residency verification records	Documents in support of verifying residency in state for tuition purposes	Last year of enrollment + 3	Toss/Shred/Delete
212	Teacher certifications		Last year of enrollment + 3	Toss/Shred/Delete
213	Transcript requests (student)	Official transcript requests by student	Submission + 1	Toss/Shred/Delete
214	VA certification records	Certifying documents for federal VA benefits	Last year of enrollment + 3	Toss/Shred/Delete

Student Academic Records - Degree and Certificate Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
215	Application for degree or other credential	Degree application, record of degree name. etc.	Last year of enrollment + 3	Toss/Shred/Delete
216	Degree audit records	Degree audits in support of graduation clearing	Last year of enrollment + 3	Toss/Shred/Delete
217	Graduation lists	List of graduates for graduating class	Active	Permanent
218	Substitution/waivers	Approvals to meet program requirements with administrative action	Last year of enrollment + 3	Toss/Shred/Delete

Student Academic Records - Grade and Scholarship/ Deficiency Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
219	Exams (final)/graded coursework		Date of course completion + 1	Toss/Shred/Delete
220	Grade appeal/complaint	Student final grade disputes	CY + 1	Toss/Shred/Delete
221	Grade book (faculty)	Record of students in course and work completed	Date of course completion + 5	Toss/Shred/Delete
222	Grade change forms	Record of authorization to change grade	Last year of enrollment + 5	Toss/Shred/Delete
223	Grade reports (midterm)	Record of midterm grades submitted by faculty	Current term	Toss/Shred/Delete
224	Grade submission sheets/data	Original record of grades submitted at end of term	Active	Permanent

Student Academic Records - Miscellaneous Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
225	Name change authorizations		Last year of enrollment + 5	Toss/Shred/Delete
226	Personal data information forms	Change of address, race/ethnicity questionnaires, and other demographic data	Last year of enrollment + 5	Toss/Shred/Delete
227	Transfer credit evaluations		Last year of enrollment + 5	Toss/Shred/Delete

Student Academic Records - Registration and Enrollment Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
228	Class Schedules (students)	Student schedules for each term	Last year of enrollment + 5	Toss/Shred/Delete
229	Class lists	Record of class rosters for each term	CY + 5	Toss/Shred/Delete
230	Course repeat form/approval		Last year of enrollment + 5	Toss/Shred/Delete
231	Credit/no credit, audit, or pass/no pass approvals	Authorization for various enrollment options	Submittal + 3	Toss/Shred/Delete
232	Enrollment changes	Record of student add/drop/withdraw from class	Submittal + 3	Toss/Shred/Delete
233	Registration/enrollment records	Initial registration forms, current enrollment records	CY + 3	Toss/Shred/Delete
234	Withdrawal/cancellation of enrollment records	Record of request to withdraw from all classes	CY + 3	Toss/Shred/Delete

Publications, Statistical Data, and Institutional Reports

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
235	Catalogs	Published annually or bi-annually, record of courses, degrees, and programs of study offered	Active	Permanent
236	Commencement programs	Published record of graduates for public distribution	Active	Permanent
237	Degree statistics	Record of degrees granted by institution per graduation term and/or annually	Active	Permanent
238	Enrollment statistics	Per term report of enrolled students, e.g., by class, by course totals, headcount and FTE	Active	Permanent

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
239	Grade distribution and other grade statistics	Report of grades given, including summary grade point statistics by class	Active	Permanent
240	Instructor evaluations (by students)		CY + 1	Toss/Shred/Delete
241	Race/ethnicity reporting	Report of student enrollment, graduation, and other metrics by race and ethnic origin	Active	Permanent

FERPA Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
242	Requests for formal hearings	Student-initiated request for formal hearing regarding amendment of education record	Same as education record at issue	Same as education record at issue
243	Requests for and disclosures of personally identifiable information	Necessary for compliance with recordkeeping requirements in FERPA	Same as PII at issue	Same as PII at issue
244	Requests for nondisclosure of directory information	Student request to opt-out of directory information disclosure	Active	Permanent, or until the request is terminated by student
245	Statements on content of records regarding hearing panel decisions	If student request for amendment of record is not granted, then student statement must be maintained in the record, and disclosed whenever the record is disclosed	Same as education record at issue	Same as education record at issue
246	Written consent for records disclosure	Student signed (electronic or paper) authorization for disclosure of education record	Same as education record at issue	Same as education record at issue

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
247	Waivers for rights of access	Covers confidential letters and statements of recommendations related to the student's admissions; application for employment; or receipt of an honor or honorary recognition (section 99.12(b)(3))	Same as education record at issue	Same as education record at issue
248	Written decisions of hearing panels	Decisions resulting from formal hearings regarding amendment of education records	Same as education record at issue	Same as education record at issue

Federal Disclosure Records

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
249	Athletic Participation/EADA documents		Date of required disclosure + 3	Toss/Shred/Delete
250	College Costs, accreditation, textbook information, transfer credit policy	Complies with Higher Education Opportunity Act	Date of required disclosure + 3	Toss/Shred/Delete
251	Crime Statistics/ Security Reports	Complies with Clery Act reporting requirements	Date of required disclosure + 3	Toss/Shred/Delete
252	Graduation/ completion, Transfer-out Data	Complies with Student Right-to-Know legislation	Date of required disclosure + 3	Toss/Shred/Delete
253	Institutional information (Cost of attendance, withdrawal procedures,		Date of required disclosure + 3	Toss/Shred/Delete

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
	accreditation, etc.)			

Miscellaneous

Program Code: 5102				
Item Number	Record	Description	Retention	Disposition
254	Services to Students with Disabilities Records	Records of student participation in the services to students with disabilities program.	Services Complete + 5 yrs.	Permanent
255	Student Organization Administrative Records	Records of the history, development, and policies of campus student organizations.	CY + 5 yrs.	Archival Review