

University Record Retention

This policy sets forth the standards and procedures for use by University personnel in connection with the retention of University records by various departments of the University. It is the intention of this policy to ensure that all University records are maintained in accordance with all applicable legal and policy requirements in order to ensure that University records are not improperly or prematurely disposed of by a University department. At the same time, this policy seeks to give guidance to University employees as to appropriate time frames under which University records that are no longer necessary for the operation of the University may be properly disposed of thereby providing for efficient and effective use of the University's limited storage capacity. The Senior Vice President – Administration & Finance has responsibility for overseeing the establishment of the record retention program.

Process for Disposal of University Records

The head of any University department is authorized to dispose of University records upon meeting the following criteria:

- The records to be disposed of meet or exceed the time frames set forth for such records in the applicable appendices attached to this policy.
- The department head shall obtain written approval from his/her area vice president, allowing for the disposal of the records in question. A copy of the written approval by the area vice president shall be sent to the Senior Vice President – Administration & Finance.
- The records to be disposed of do not relate to or contain information regarding current, pending, or potential litigation involving the University. Any questions regarding these criteria should be addressed to the Senior Vice President – Administration & Finance.
- Records containing student information or sensitive and/or confidential information must be shredded or otherwise rendered unreadable prior to disposal. The procedures for the disposal of electronic media records are set forth later in this policy. Any questions concerning whether records should be shredded prior to disposal shall be resolved in consultation with the Senior Vice President – Administration & Finance.
- The department head shall create and maintain a permanent summary of the records disposed of by category and time frame.

Under no circumstances shall any employee dispose of University records without following the above procedures. This policy is not intended to apply to the appropriate disposal of individual documents when warranted and approved in the course of an employee's daily activities but is intended to apply to the disposal of large quantities of out of date University records.

Determination of Time Frames Under Appendices

If a department head seeks to dispose of certain University records that are not listed in the appendix of this policy, no disposal of those records shall be made prior to the establishment of a time frame for their disposal under the applicable

appendix. Such records shall be brought to the attention of the University's Senior Vice President – Administration & Finance who shall make a determination of a time frame for the disposal of such records in consultation with the appropriate area vice president and legal counsel. Once approved, the determination shall be included in applicable category and the records in question may then be disposed of in accordance with this policy.

Disposal of Electronic Media Records

The procedures for the disposal of electronic media records are as follows:

1. All labels identifying the content of the media should be removed or made illegible.
2. Diskettes and zip disks should be erased and reformatted using the "full-format" option.
3. Tape media, such as 9-track and 8mm, should be demagnetized and/or physically removed from the tape housing.
4. CD-ROM media should be physically destroyed.
5. Any other electronic media record in a format not mentioned above should be rendered unreadable by any other appropriate means.

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