



Policies and Procedures

Policy Title:
University Records Retention

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Responsible Office: Office of the President
Responsible Official: As Specified Below in Policy Section 5900.1

Policy Sections	3
5900.1 Administrative Requirements.....	3
5900.2 Ownership of University Records	5
5900.3 Record Retention Periods.....	5
5900.4 Record Storage	22
5900.5 Record Disposal	22
5900.5.1 Mandatory Preservation of Records Related to Litigation, Audit or Government Inquiry	22
5900.6 Record Accessibility.....	23
5900.7 Record Safeguarding	23
5900.8 Document Imaging.....	24

Scope

This Policy sets forth general principles and guidelines for retention of official University records, including but not limited to financial records, administrative records, personnel records, and student records. It applies to all University departments and offices and all University employees who create, receive or maintain such records in the course of conducting University business.

Policy Statement

Record retention and disposal schedules set forth in this Policy apply to records of all formats, including paper records, electronic records, computer files, word processing, spreadsheets, databases and imaging system materials. The University encourages the use of storage methods that eliminate waste, reduce costs and promote efficiency.

Records must be retained in accordance with the schedule contained within this Policy. It may be necessary to retain certain non-archival records for a period longer than the years specified in the retention schedule if they are required to support an audit, litigation or other matters.

University records must be maintained in a manner that supports operational needs and internal control directives, and must also meet federal, state and regulatory requirements. Document retention standards and systems must ensure transactions and related authorizations are fully supported in the event of an audit, litigation or other external action.

Reason for the Policy

This Policy is intended to promote compliance with federal, state, and other legal requirements for record retention. In addition, it is designed to promote efficient management, sharing, and transfer of information among authorized University employees within prescribed security standards. The Policy also seeks to effectively utilize limited office space for Active Records (defined below) and utilize low-cost remote storage space of Inactive Records (defined below) if needed. Finally, the Policy is intended to provide guidance on disposition of records no longer needed to satisfy legal, regulatory or other requirements and ensure no record is disposed of unless authorized, ensure the means of destruction are appropriate for the type of record under consideration, ensure the preservation of records of permanent value and ensure record retention policies, schedules and procedures are reviewed and modified as necessary to respond to changes in technology, University operations, or applicable law.

Definitions

Active Period

The length of time for which a department or central administrative office has immediate administrative use for Active Records.

Active Records

Records needed to support the current business activity of a department, division, or Business Unit.

Business Unit

A department, division or organization that contains a series of related activities designed to accomplish a specific objective (e.g., collecting and depositing payments to the University, paying invoices, placing orders, etc).

Inactive Records

Records for which the active period has passed, and which are being held for the remainder of the specified Retention Period.

Permanent (archival) Records

Records that have long-term or permanent value to the University, such as endowment indentures, University Bylaws, deeds, continuing agreements with external parties, and other similar documents.

Records Custodian

An individual assigned by the Records Manager of a Business Unit to formally retain documents for that unit pursuant to established standards and systems.

Records Manager

An individual appointed by the Responsible Official to oversee the administration of records management systems (both paper and electronic) for an established Business Unit.

Records Retention and Disposal Schedule

The section of this Policy that prescribes the minimum length of time for which specific University records must be retained. As described elsewhere in this Policy, a longer Retention Period may be required in certain circumstances.

Responsible Official

A senior member of management who serves as the owner of institutional and divisional Business Units, and, as such, is responsible for ensuring effective implementation of this Policy in his/her assigned area of responsibility.

Retention Period

The minimum required length of time for which a department or central administrative office is responsible for the maintenance of records.

Policy Sections

5900.1 Administrative Requirements

For each of the University's major Business Units, a Responsible Official, typically a senior member of management, serves as the institutional owner of the business processes and monitors the effective implementation of this Policy in the related area(s) of responsibility. The Responsible Official's responsibilities include: general oversight of the Business Unit's compliance with this Policy; periodically reviewing record retention schedules that apply to the Business Unit and recommending changes to the appropriate University official; establishing appropriate filing standards for unit records;

monitoring disposal methods and practices of the Business Unit; evaluating cost-effective short- and long-term storage options (including electronic media) within the Business Unit; and performing other records management oversight functions as required.

Listed below are the Responsible Officials for major University Business Units:

Business Unit	Responsible Official
Academic	Provost & Vice President for Academic Affairs
Advancement & Development	Vice President for Advancement
Facilities	Vice President for Facilities
Finance	Vice President for Finance
Financial Aid	Associate Vice President for Financial Aid
Health & Safety	Special Assistant to the President
Health Services	Director of Health Services
Human Resources	Associate Vice President for Human Resources
Information Technology	Associate Vice President for Information Technology & CIO
Institutional Research	Director of Institutional Research
Student Affairs	Vice President for Student Success

Records managers, who are appointed by each Responsible Official, directly supervise the implementation and quality assurance of records management systems and procedures for paper and electronic records stored in their respective Business Units.

5900.2 Ownership of University Records

University records are the property of the University and do not belong to those who prepare such records or to their official custodian. No employee has any personal or property right to records of the University, including those records the employee helped develop or compile, and no employee may remove or copy such records for personal use.

5900.3 Record Retention Periods

Record retention schedules are primarily calendar-driven, where the retention period begins on the last day of the fiscal year the records were created. The following retention periods are to be adhered to unless longer Retention Periods are necessary for audit requirements or litigation.

The following Retention Periods are to be adhered to unless longer Retention Periods are required by applicable law or regulation or are necessary for audit requirements, litigation or other matters as described in Section 5900.5. In addition, any records that are not listed below must be retained permanently or for such shorter period permitted by law.

ACADEMIC SUPPORT

Libraries and Archives

- Permanent Annual Reports from Library, Archives, and their Divisions
- Permanent Appraisal Records Documenting the Value of Collections and Artifacts
- Permanent Collections Management Records Including Accession Records, Authority Records, Periodic Snapshots of Records in a Catalog System, Deaccession Records, Preservation Records, Reference Guides, and Finding Aids
- Permanent Donor Files
- Permanent Exhibit Publications, Descriptions, and Layout Design Records
- Permanent Friends or Volunteer Group Meeting Minutes, Reports, and Publications
- Permanent Minutes and Supporting Materials from Library and Archives Committees
- Permanent Policies and Procedures Governing the Activities of Libraries and Archives
- Permanent Publications Concerning the Activities and Services of the University of New Haven's Library and Archives
- Permanent Published Catalogues of the Holdings of Library and Archives

- Permanent Records Management Schedules and Authorizations to Destroy Records
- Permanent Topical Files and Correspondence of the University Librarian, Associate University Librarians, and Department Directors
- Permanent Summarized Statistics and Reports Concerning the Use of Collections, Patrons and Visitors, Accessions, and Collection Management
- 7 Years Bindery Records
- 7 Years Borrower's Records
- 7 Years Call Slips or Item Paging Records
- 7 Years Circulation Records – Fees and Fines
- 1 Year Circulation Records – Other
- 7 Years Collection and Artifact Loan Records
- 3 Years Interlibrary Loans Records
- 7 Years Patron and Visitor Records
- 7 Years Purchasing Records
- 7 Years Vendor Agreements and Correspondence

Routine Administrative Records

(Destroy following their immediate administrative use.)

- Course Reserve Records
- Data Entry Records
- Raw Statistical Data
- Reference Request Records
- Shipping Records
- Vendor Information
- Working Materials for Exhibits

EXECUTIVE MANAGEMENT

Strategic Planning, Development and Evaluation

- Permanent Annual Reports
- Permanent Budget Proposals, Final Budgets
- Permanent Policy Planning, Creation, and Directives
- Permanent Committee Records Including Agendas, Minutes, Correspondence, Policies, Reports, and Other Supporting Materials
- Permanent Mission, Goals, and Objective Statements

- Permanent Organizational Charts and Histories
- Permanent Policies and Procedures
- Permanent Proposals for New Programs, Projects, or Services
- Permanent Reviews of Programs, Projects, or services
- Permanent Reports, Briefing Papers, and Studies
- Permanent Speeches and Remarks
- Permanent Topical Files of the President and Officers of the University, Deans, Directors, and Department Chairs

Routine Administrative Records

(Destroy following their immediate administrative use.)

- Calendars and Appointment Books
- Correspondence Regarding Scheduling, Informational Requests, Invitations, acknowledgements, and other Transitory Matters
- Resource and Reference Materials, such as Publications and Articles that are not about the University of New Haven or its Endeavors

BUSINESS AND FINANCE

Employees who give final approval to financial transactions must identify, safeguard and retain the official or “record” copies of documents supporting those transactions.

Therefore, department administrators who have been delegated approval authority for certain kinds of transactions are responsible for the original records related to those transactions. Duplicate records must be eliminated to the fullest extent possible.

Accounting

- Permanent General Ledgers and Subsidiary Ledgers
- Permanent Unclaimed Property
- Permanent Federal Tax Returns (990)
- Permanent Perkins / FISAP Papers
- 5 years Account Reconciliations and Analysis
- 5 years Bank Reconciliations
- 5 years Bank Statements
- 3 years General Departmental Correspondence
- 5 years Journal Entries
- 5 years Paid & Cancelled Checks
- 5 years Year-end Closing Documents

Auditing

- Permanent Audited Financial Statements
- Permanent External / Internal Audit Work Papers

Budgeting

- 10 years Annual Budget Plans and Reports, with Supporting Programmatic Materials
- Permanent Budgeting Policies, Procedures, Guidelines, and Instructions
- Permanent Correspondence Concerning Budget Development and Negotiation as it Pertains to Program Development / Implementation

Grants and Contracts

Records related to grants and contracts must be retained for a period of ten (10) years from the date of the submission of the final financial report to the funding agency, unless the terms of the award specifically state otherwise, or if there is a pending audit or litigation matter.

Retention periods for such records vary widely depending upon the sponsoring agency and individual contract terms. For example, when the University accepts a federal grant or contract it enters into a binding agreement that requires it to apply federal disposition schedules pertaining to such awards. However, non-federal agencies may apply a different set of standards for record retention and in those cases it is best to refer to the agreement itself for retention requirements. In any case where the sponsoring agency's retention period is longer than that dictated by University policy, the longer period shall apply.

Departments and business units are strongly encouraged to consult the Business Office to determine the appropriate retention period for records related to specific grants and contracts.

- Permanent Federal Grants - All Documentations
- Permanent Legal Opinion Letters
- Permanent Policies, Guidelines and Regulations for Sponsored Grants
- 10 Years State / Local / Private Grants

Investment, Endowment/Fund Management

- Permanent Annual Reports and Statements Summarizing the Activity and Performance of Investments, Endowments, and Funds
- Permanent Correspondence Documenting Significant Decisions in the Management of Investments, Endowments, and Funds
- Permanent Letters and Agreements of Gift, and Copies of Bequest Instruments and Wills from Individuals or Estates
- Permanent Policies and Procedures for Investment, Endowment, and Fund Management

- Permanent Restricted Contribution Notification Letters
- Permanent Support for Endowment Contributions
- Permanent Unrestricted Contribution Notification Letters

Payroll

- Permanent Policies, Procedures, Guidelines, and Instructions for Paying Employees.
- 10 years Deduction Records
- 10 years Employee Payroll Records, Including Payroll Histories, Pay Authorization Records, Paycheck Delivery Records, Paycheck Deposit Records, Adjustment Records, and Payroll Advance Records
- 10 years Garnishment Records
- 10 years Payroll and Transaction Registers
- 10 years Payroll Checks
- 10 years Retirement Records
- 10 years Social Security Records
- 10 years Tax Withholding Records
- 10 years Time and Attendance Records
- 10 years Tuition Reimbursement Records
- 10 years Union Dues Records
- 10 years Vacation, Sick, and Leave Records
- 10 years W-2 Forms

Procurement and Disbursement

- 10 years Bills of Lading
- 10 years Competitive Bid Proposals
- 10 years Credit Memos
- 10 years Disbursement Records (invoices, moving expense records, travel records, and requests for payment)
- 10 years Purchase Orders
- 10 years Requisitions
- 10 years Sales Invoices
- 10 years Shipping and Receiving Reports
- 10 years Vendor Relations Records, Including Competitive Bid Requests, Requests for Quotations, and Service Contracts

Property, Equipment, and Supplies

- Permanent Fixed Asset Summary Listings
- 10 years Bidding Records
- 10 years Disposition and Sales Records

- 10 years Equipment Maintenance Records
- 10 years Equipment Rental and Loan Records
- 10 years Loss and Damage Records
- 10 years Purchasing and Requisition Records
- 10 years Vendor History Reports and Records

Real Property

- Permanent Deeds and Titles for Properties Owned by UNH
- Permanent Meeting Minutes and Supporting Materials
- Permanent Policies and Procedures for Purchasing, Renting, and Selling Real Property

Sales and Revenue

- 10 years Accounts Receivable Records
- 10 years Petty Cash Records, Including Fund Requests, Receipts, and Reimbursement Records
- 10 years Cash Receipt Journal Entries and Supporting Documentation Including Copies of Checks and Credit Card Receipts.

FACILITIES

Campus Planning

- Permanent Annual Reports from the Office of Facilities
- Permanent Meeting Minutes and Supporting Materials Concerning Campus Planning and Space Management
- Permanent Official Drawings of the University of New Haven Campus
- Permanent Official Maps of the University of New Haven Campus
- Permanent Official Photographs of the University of New Haven Campus
- Permanent Plans and Proposals Relating to the Planning and Design of the Campus as a Whole
- Permanent Records and Minutes of the Physical Resources Committee
- Permanent Summary Survey or Inventory Records Regarding Building Space, Including Those Records Used to Measure Usage of Space; Project Space Needs; Maintenance Decisions; Renovation; and Construction

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- 7 Years Space Utilization Records for Offices, Classrooms, and Laboratories

- 7 Years Room Assignment and Room Change Records

Construction and Renovation

- Permanent Project Descriptions and Requirements
- Permanent Preliminary and Presentation Drawings
- Permanent RFPs (requests for proposals)
- Permanent RFP Evaluations
- Permanent Intermediate and Final Working Drawings
- Permanent “As Built” and Shop Drawings
- Permanent Repair and Alteration Drawings
- Permanent Contract Drawings
- Permanent Project Specification and Space Assignment Plans
- Permanent Landscape and Lighting Plans
- Permanent Maps and Photographs
- Permanent Materials and Soil Reports
- Permanent Disability Access Records
- Permanent Contracts and Agreements with Architects, Artists, Engineers, Consultants, Vendors and Contractors
- Permanent Budget Records
- Permanent Correspondence that Documents Decisions Made in the Design and Building Processes
- Permanent Meeting Minutes and Reports
- Permanent Records Concerning the Demolition of Campus Structures

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- 7 Years Inspection Records
- 7 Years Permits, Approvals, and Certificates of Occupancy
- 7 Years Contract Support Documentation
- 7 Years Correspondence and Memoranda Concerning Routine Administrative Matters
- 7 Years Work Logs and Sign-in Sheets

Routine Administrative Records

(Destroy following their immediate administrative use.)

- Equipment Catalogs

Maintenance and Repair of Buildings and Grounds

- Permanent Policies and Procedures for Maintaining and Repairing University Buildings and Grounds
- Permanent Meeting Minutes and Supporting Materials Concerning the Maintenance and Repair of Buildings and Grounds
- Permanent Reports and Analyses of the Status or Condition of Buildings and Grounds
- Permanent Photographs Showing the Condition of Buildings and Grounds

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Unless Otherwise noted, Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- 30 Years Hazardous Waste or Chemical Clean-up Records
- 30 Years Chemical Application Records, Including Records Documenting Use of Pesticides and Fertilizers
- 7 Years Work Records, Including Maintenance Agreements, Work Logs, Service Orders, Work Requests and Orders, Sign-in-Sheets, Security Logs and Reports, and Equipment and Key Inventories
- 7 Years Utilities Systems Operating and Maintenance Records, Including Equipment Operations Logs, Mechanical charts, and Equipment Maintenance Histories

INSTITUTIONAL RESEARCH

Certification and Statistical Documents

- Permanent Degree Statistics
- Permanent Enrollment Statistics
- Permanent Grade Statistics
- Permanent Racial / Ethnic Statistics

PERSONNEL RECORDS

Retention Periods for personnel records begin from the duration of employment plus the Retention Periods outlined below.

- 5 Years Affirmative Action Record, Including ADA; Plans

- 5 Years Affirmative Action Record, Including ADA; Complaint Files
- 30 Years Applications for Employment, Including Resumes; Hired
- 2 Years Applications for Employment, Including Resumes; Not Hired
- 5 Years Arbitration Decisions
- 30 Years Background Survey of Personnel, Including but not Limited to Polygraph, Psychological Profiles / Testing, Credit Reports; Hired
- 2 Years Background Survey of Personnel, Including but not Limited to Polygraph, Psychological Profiles / Testing, Credit Reports; Not Hired
- 1 Year Certification and Exam Request Forms
- 1 Year Certification of Eligibilities
- 30 Years Original Consultant Approval Forms
- 3 Years Copies of Consultant Approval Forms
- 2 Years Routine Correspondence
- Permanent Policies and Legal Opinions
- 5 Years Disciplinary Records not Resulting in Suspension, Dismissal, Litigation, EAP or Other Action
- 30 Years Disciplinary Records Resulting in Suspension, Dismissal, Litigation, EAP or Other Action
- 30 Years Dual Employment Forms
- 5 Years Employee Assistance Program Records
- 30 Years Employee File
- 30 Years Employee Medical Records
- 5 Years Grievance Records
- 30 Years Health Benefit Election Information (COBRA)
- 3 Years Immigration and Naturalization Service Form (I-9)
- Until Superseded Job Descriptions
- 3 Years Job Training Program Records
- 30 Years Leave Donation or Advance of Sick Leave Letters
- 1 Year Leave Requests
- 30 Years Medical Certificates and Medical Forms; Options / Changes in Medical Coverage
- 30 Years Military Service Records
- 2 Years Records of Recruitment for Individual Vacancies
- 30 Years Retirement Forms, Including Retirement Applications
- 30 Years Running Balance Record of Sick Leave and Vacation Leave
- 3 Years Salary Schedules (beyond date of supersession)
- 30 Years Unemployment Slips

- 5 Years Materials Concerning Violence / Harassment / Threat Assessment Investigations (after resolution and all litigation is completed)
- 30 Years Workers Compensation Records
- 30 Years Working Test Period Extension Letter

PUBLIC RELATIONS

Government and Community Relations

- Permanent Annual Reports from University Units or Initiatives that Interact Regularly with Governmental Bodies or Local Communities
- Permanent Meeting Minutes and Supporting Documentation Relating to Government and Community Relations
- Permanent Mission, Goal, and Strategy Development from University Units and Initiatives that Interact Regularly with Governmental Bodies or External Communities
- Permanent Photographs Documenting the University of New Haven's Initiatives and Programs that Impact Local Communities
- Permanent Policies and Procedures for Community and Governmental Relations
- Permanent Position Statements and Related Records Concerning the University of New Haven's Stance Towards Legislative or Public Policy Matters

Non-permanent Records Requiring Temporary Retention for Legal Purposes (Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- 7 Years Lobbyist Records Including Registration Forms, Expenditure Reports, and Related Materials

Routine Administrative Records

(Destroy following their immediate administrative use.)

- Copies of Pending or Approved Legislation
- Legislative Bill Tracking and Review Records
- Routine Correspondence
- Working Papers and Drafts

Promotion and Information Dissemination

- Permanent Articles About University of New Haven Related Activities, Events, Projects, Programs, and Individuals
- Permanent Biographical Information About University of New Haven

Affiliated Individuals

- Permanent Clippings Concerning University of New Haven Related Activities, Projects, Programs, and Individuals
- Permanent Correspondence that Provides Directives for Activities Relating to Promotion and Information Dissemination
- Permanent Examples of Advertisements Submitted to Other Publishing Venues
- Permanent Films and Videos of Activities and Events Associated with the University of New Haven
- Permanent Histories About Projects, Programs, and Events Associated with the University of New Haven
- Permanent Interviews with University of New Haven Affiliated Individuals
- Permanent Major Speeches and Statements about the University of New Haven or Delivered at the University
- Permanent Meeting Minutes and Supporting Materials Related to Promotional, Marketing, and Advertising Campaigns
- Permanent Photographs and Slides of Activities, Events, or Individuals Associated with the University of New Haven
- Permanent Policies and Procedures for Promotion and Information Dissemination
- Permanent Press Releases Concerning University of New Haven Activities, Events, Projects, Programs, and Individuals
- Permanent Topical Files of the Office of Public Relations and the Office of Institutional Research
- Permanent Publications Produced to Promote or Provide Information about the Unit – e.g., Brochures, Books, Posters, etc.
- Permanent Reports and Analyses of Events, Trends, and Issues Associated with the University of New Haven
- Permanent Statistics about the University

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- 7 Years Job Specification Records Used in Setting up Publications for Printing. Includes Description, Specifications, Records Documenting Cost of Production, Artwork, Changes to Publications, Samples, and Related Documentation and Correspondence

Routine Administrative Records

(Destroy following their immediate administrative use.)

- Drafts and Working Papers
- Extra Copies of Publications
- Publications from Other Sources. If an Advertisement is within a Publication, it is Sufficient to Preserve an Example of the Advertisement with a List of the Places in which it was Published.

HEALTH AND SAFETY

Environmental Safety and Community Health

- Permanent Policies and Regulations Initiated and / or Approved by the University Health and Safety Committee for use by the University of New Haven
- Permanent Training Procedures and Programs for the Benefit of the University of New Haven Community
- Permanent Publications and other Promotional materials Produced by the University Health and Safety Committee
- Permanent Annual and Special Reports

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Unless Otherwise noted, Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- 7 Years Accident Reports and Injury Logs
- 7 Years Building Inspection Reports
- 7 Years Damage Reports
- Until Superseded Elevator Certifications
- 30 Years Employee Medical Records
- 7 Years Environmental Testing and Monitoring Records
- Until Superseded Fire Extinguisher Certification
- 30 Years Hazardous Substance Records
- 30 Years Material Safety Data Sheets
- 10 Years Non-staff Accident and Injury Reports
- 30 Years Public Safety Employee Training Records
- 30 Years Records to Exposure to Radioactive and / or Hazardous / Toxic Substances
- 7 Years Routine Hazardous Materials Records

- 15 years Uncorroborated Allegations Concerning Environmental and Occupational Health Risks
- 7 Years Violations of City Ordinances

Routine Administrative Records

(Destroy following their immediate administrative use.)

- Emergency Action Plans
- Bulletins

Fire and Disaster

- Permanent Regulations and Codes
- Permanent Policies and Procedures
- Permanent Investigation Files Concerning Fatalities
- Permanent Disaster Recovery Records
- Permanent Annual Reports
- Permanent Topical Files of the University Police Chief
- Permanent Publications Regarding Fire and Disaster Policies and Procedures

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Unless Otherwise noted, Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- Until
Superseded Routine Building Inspection Records
- 7 Years Fire Alarm Installation and Maintenance Records
- Until
Superseded Emergency Response Plans
- 10 Years Disaster Inspection Records
- 7 Years Regulation and Code Violation Records
- 3 Years Investigation Files that do not Concern Fatalities

Police

- Permanent Laws and Regulations
- Permanent Annual and Special Reports
- Permanent Weapon Permits
- Permanent Fatal Accident Investigation Records
- Permanent Homicide Records
- Permanent Unsolved Missing Persons Records

- Permanent Unidentified Bodies Records

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Unless Otherwise noted, Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- 7 Years Arrest Records
- 2 Years Calls for Service
- 10 Years Case Investigation Records Concerning Non-fatal Incidents
- Until Superseded Emergency Response Plans
- 10 Years Felony Records
- 10 Years Infractions Committed on University of New Haven Grounds
- 10 Years Misdemeanors / Summons
- 10 Years Solved Missing Persons Records
- 5 Years Parking Violation Records
- 7 Years Regulation and Code Violation Records
- 10 Years Sex Crimes
- 7 Years Violations (decriminalized)

HEALTH SERVICES

General Records

- Permanent Student Health Records
- Permanent Employee Medical Records

RESEARCH

Academic

- Permanent Annual Reports
- Permanent Charters and Agreements Between the Research Center and / or Sponsoring Agency and the University of New Haven
- Permanent Constitutions, Missions, and Vision Statements of the Research Centers
- Permanent Copyright, Patent, and Trademark Records
- Permanent Laboratory Notebooks (or their electronic equivalent)
- Permanent Policies and Procedures for Administration of Research Initiatives
- Permanent Project Records
- Permanent Publications and forms Produced from Research Initiatives
- Permanent Records of Sponsored Projects and Awards

- Permanent Unpublished Reports Regarding Research Projects
- Permanent Finished Product of the Research

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- 7 Years Animal Subject Records
- 7 Years Commercial Cooperative Records Documenting Relationships Between Commercial Businesses and University Research Initiatives
- 7 Years Human Subject Records
- 7 Years Research Misconduct Records
- 7 Years Standard Research Agreements

- 7 Years Technology Transfer Records Concerning the Transfer of Research Results to External Agencies

STUDENT RECORDS

Notwithstanding the Retention Periods for student records listed below, if there is an outstanding request to review student records, the records that are the subject of the request must not be destroyed.

Admissions Documents for Students who do not Enter

- 2 Years Acceptance, Rejection, and Wait-List Letters
- 2 Years Advanced Placement Records
- 2 Years Applications for Admissions
- 2 Years Entrance Examination Records
- 2 Years Interview Reports
- 2 Years Letters of Recommendation
- 2 Years Placement Scores
- 2 Years Readmission Forms
- 2 Years Test Scores
- 2 Years Transcripts from High Schools and Other Colleges

Admissions Documents for Students who Enter

- 5 Years from Last Term Attended Acceptance Letters
- 5 Years from Last Term Attended Advanced Placement Records
- 5 Years from Last Term Attended Application for Admission
- 5 Years from Last Term Attended Correspondence
- 5 Years from Last Term Attended Entrance Examination Records

- 5 Years from Last Term Attended Placement Scores
- 5 Years from Last Term Attended Residency Classification Forms
- 5 Years from Last Term Attended Test Scores
- 5 Years from Last Term Attended Transcripts from High Schools and Other Colleges

Registration Documents

- 5 Years from Last Term Attended Academic Action Authorizations (dismissal, etc.)
- Permanent Academic Records (including competency assessments, etc.)
- 1 Year Application for Graduation
- Permanent Catalogs
- 5 Years from Last Term Attended Change of Grade Forms
- 5 Years from Last Term Attended Change of Major / Curriculum Authorizations
- Permanent Commencement Programs / Graduation Lists
- 5 Years from Last Term Attended Course Substitution
- 5 Years from Last Term Attended Credit by Examination Forms
- 5 Years from End of Term Faculty Grade Books
- Permanent Final Grade Sheets
- 5 Years from Last Term Attended Foreign Student Forms
- 5 Years from Last Term Attended Name Change Authorizations
- Permanent Schedule / Directory of Classes
- 5 Years from Last Term Attended Transfer Credit Evaluations
- 5 Years from Last Term Attended Withdrawal Authorizations

STUDENT LIFE

Athletics

- Permanent Game and Cumulative Statistical Reports
- Permanent Lists of Physical Education Classes and Facilities Open to Students
- Permanent Meeting Minutes and Related Materials Concerning Athletics and Recreation
- Permanent Photographs of Teams and Individual Athletes
- Permanent Policies and Procedures Relating to University of New Haven Athletics
- Permanent Press Releases for Varsity Sports
- Permanent Topical Files and Correspondence of the Director of Athletics

- Permanent Team Rosters

Non-permanent Records Requiring Temporary Retention for Legal Purposes

(Unless Otherwise noted, Destroy 7 Years Following Active Use or Fiscal Year of Creation, Whichever is Later.)

- Permanent Athletes' Medical Records
- 10 Years Athletic Eligibility Records
- 75 Years Catastrophic Injury Records
- 10 Years Competition Record Forms Used to Comply with NCAA Requirements
- 7 Years Drug Test Records Used to Comply with NCAA Requirements
- 1 Year Evaluation of Game Official Records Used to Comply with NCAA Requirements
- 7 Years Game Arrangement and Scheduling Records for NCAA Sports
- 7 Years Individual Athlete Records
- 10 Years Insurance Records for Athletes and Athletic Events
- 7 Years Playbooks
- 7 Years Sports Merchandising Records

Routine Administrative Records

(Destroy following their immediate administrative use.)

- Game Arrangement and Scheduling Records for Non-NCAA Sports

Student Organizations

- Permanent Annual Reports of Student Organizations
- Permanent Correspondence of Student Organizations that Documents Programs, Activities, and Events
- Permanent Constitutions and Bylaws of Student Organizations
- Permanent Meeting Minutes and Supporting Documentation from Student Organizations or Concerning Student Organizations
- Permanent Membership Rosters of Student Organizations
- Permanent Photographs, Clippings, Press Releases, and Scrapbooks Documenting the Activities of the Student Organizations
- Permanent Publications from Student Organizations
- Permanent Topical Files and Correspondence of the Associate Provost & Dean of Students

5900.4 Record Storage

At the end of the Active Period, records must be labeled and stored for the balance of the Retention Period according to University guidelines and procedures.

The Records Custodian is responsible for appropriately labeling and arranging for suitable storage of Inactive Records. The University's dedicated records shelving facilities are the preferred locations for storage of record copies of non-archival records that require retention beyond their active lives. Regardless of where Inactive Records are stored, the originating department is responsible for maintaining files or logs describing the contents of stored records, and for retrieving records upon official request.

5900.5 Record Disposal

At the end of the appropriate Retention Period, Inactive Records, including transaction records, inactive agreements and other non-permanent records, shall be destroyed according to the applicable schedule. Departments must obtain prior authorization for such disposal from the Responsible Official of that Business Unit. The disposal process and methods should preserve the confidentiality of the documents through the final point of disposition. Records containing personal and confidential information must be shredded or boxed and prepared for the University's shredding service for disposal. The Business Office can assist departments in arranging for confidential destruction of records. Non-confidential paper records may be put into recyclable containers.

5900.5.1 Mandatory Preservation of Records Related to Litigation, Audit or Government Inquiry

If litigation is pending, threatened or anticipated, records bearing on such litigation must not be destroyed except by permission of the University's General Counsel. Similarly, documents related to a University audit or government inquiry must not be destroyed. The General Counsel and other authorized University officials will regularly update the appropriate Responsible Official(s) with information about the litigation, audit, or government inquiry and will identify the categories of records and documents that must be retained for such purposes, notwithstanding usual record disposal policies that may otherwise apply. Those records must be retained until further notice from the General Counsel or other appropriate University Official(s) indicating that the litigation, audit or government inquiry has concluded and the documents being retained are subject to destruction pursuant to the usual record disposal Policy. The Responsible Officials must notify Records Managers of any changes from standard record Retention Periods necessitated by audits, government inquiries or litigation, as directed by the General Counsel or other authorized University official, and must oversee compliance with such changes in their Business Units. Records Managers are responsible

for communicating such changes to all affected personnel in their respective departments.

In no event should a University employee ever alter, destroy, or conceal any records with intent to impede, obstruct, or influence any litigation, audit or government inquiry or in relation to or contemplation of any such litigation, audit or government inquiry. Any University employee found to have engaged in unauthorized destruction or disposal of University records shall be subject to disciplinary action, up to and including termination.

5900.6 Record Accessibility

University records must be easily retrievable for examination by authorized departmental and central administrators, auditors and other authorized individuals. Records Custodians must follow procedures for labeling and record-keeping to ensure records can be retrieved in a timely manner, and are responsible for retrieving records upon request. Use of electronic archiving systems may help ensure compliance with this request.

Access to electronic records shall be subject to the University's policy governing information access and security. Record Managers, in consultation with their Responsible Official and Information Services professionals, are responsible for ensuring that electronic records are not rendered unusable because of changing technology or deterioration. Records in formats endangered by technology changes must be migrated to other formats in order to maintain accessibility.

5900.7 Record Safeguarding

The Records Custodian is responsible for ensuring Active and Inactive Records are stored in a secure location. The storage location must provide appropriate confidentiality and protection from unauthorized inspection, theft, and physical damage due to a fire, water or natural disaster. The Records Custodian must use sound judgment in restricting access to records, giving consideration to the degree of confidentiality warranted for such records.

5900.8 Document Imaging

Document imaging may be the most effective and efficient means for retaining certain types of records. However, any department that is contemplating replacing original documentation with images of those records must consult the Associate Vice President for Information Services and CIO prior to implementing such a system. The Associate Vice President for Information Service and CIO should review proposals for such systems and specify areas of concern. The Associate Vice President for Information

Services and CIO is responsible for issuing guidance to departments with regard to such implementations.

Departments proposing such systems must be prepared to demonstrate the following requirements would be met:

1. Electronic records must exhibit a high degree of legibility and readability.
2. Paper copies or computerized books and records must be transferred to electronic storage media in an accurate and complete manner;
3. Procedures must be developed to index, store, preserve, retrieve, and reproduce all electronically stored books and records;
4. Controls must be developed to ensure the integrity, accuracy, and reliability of the electronic records;
5. Controls must be developed to prevent and detect the unauthorized creation, alteration, addition, deletion or deterioration of electronically stored books and records; and,
6. An inspection and quality assurance program must be developed which must include regular evaluations of the system and periodic checks of stored books and records.

If imaging systems that meet the above requirements are implemented, original paper records only need to be retained through the active period as defined in Policy Section 5900.3.