

University of Scranton Records Management and Retention Policy

I. Policy Statement

The University of Scranton requires that different types of records be retained for specific periods of time, and has designated official repositories for their maintenance. These records must be managed according to procedures that are outlined in this document. This policy is applicable to every division, department and office on campus with the exception of the Faculty Affairs Council.

II. Reason for Policy

The University is committed to effective records retention to preserve its history, meet legal standards, optimize the use of space, minimize the cost of record retention, and ensure that outdated and useless records are destroyed. All records created, received, or maintained by University departments during their operations belong to the University and are retained and, re-Td (rb7i(o)002 -

VI. Contacts

For policy clarification and interpretation, contact the University Archivist at 941-6341. For questions about the policy process, contact the Office of Planning & Institutional Effectiveness

Preserving or D

University records (regardless of the storage medium) can be disposed of upon reaching the minimum retention period stated in this policy, provided the department does not need the records for future administrative, legal, research/historical, or fiscal purposes.

- { administrative value: contain information applicable to current or future university operations.
- { legal value: contain evidence of legally enforceable rights or obligations of the University.
- { research or historical value: document the purpose, growth, history, services, programs, and character of the campus.
- { fiscal value: required for budget development, financial reporting, or audit purposes.

The data steward is responsible for performing, at least annually, a review to determine the value or usefulness of departmental records. During this review, the data steward should identify and designate for disposal (destruction or transfer to an archive) the records with elapsed retention periods (time maintained in office plus time in inactive records) that are

- (b) records of a sitting administration;
- (c) records the disclosure of which might expose the University to legal liability.

Recommended Procedures for Confidential Destruction

î ~~R~~etention Period: Only those records retained for a period of time equal to or greater than the applicable retention schedule may be disposed of in accordance with these guidelines.

î ~~S~~uspension of Records Destruction in the Event of a Claim, Lawsuit, Government Investigation, Subpoena, Summons or Other Ongoing Matters. Upon notice of legal process (subpoena, summons or the like), or upon learning of an investigation or audit, or if a claim is made, whether formal or informal, or a dispute arises, the records retention schedules referenced above shall be suspended and records related to the legal process, claim, dispute, investigation or audit should not be destroyed.

Film, audio and videotapes containing confidential information should also be physically destroyed, not simply thrown away. It is possible to overwrite audio and videotapes with other, non-confidential sound and images, but if this is done, it is recommended that it be done by an authorized member of the staff in the office of origin.

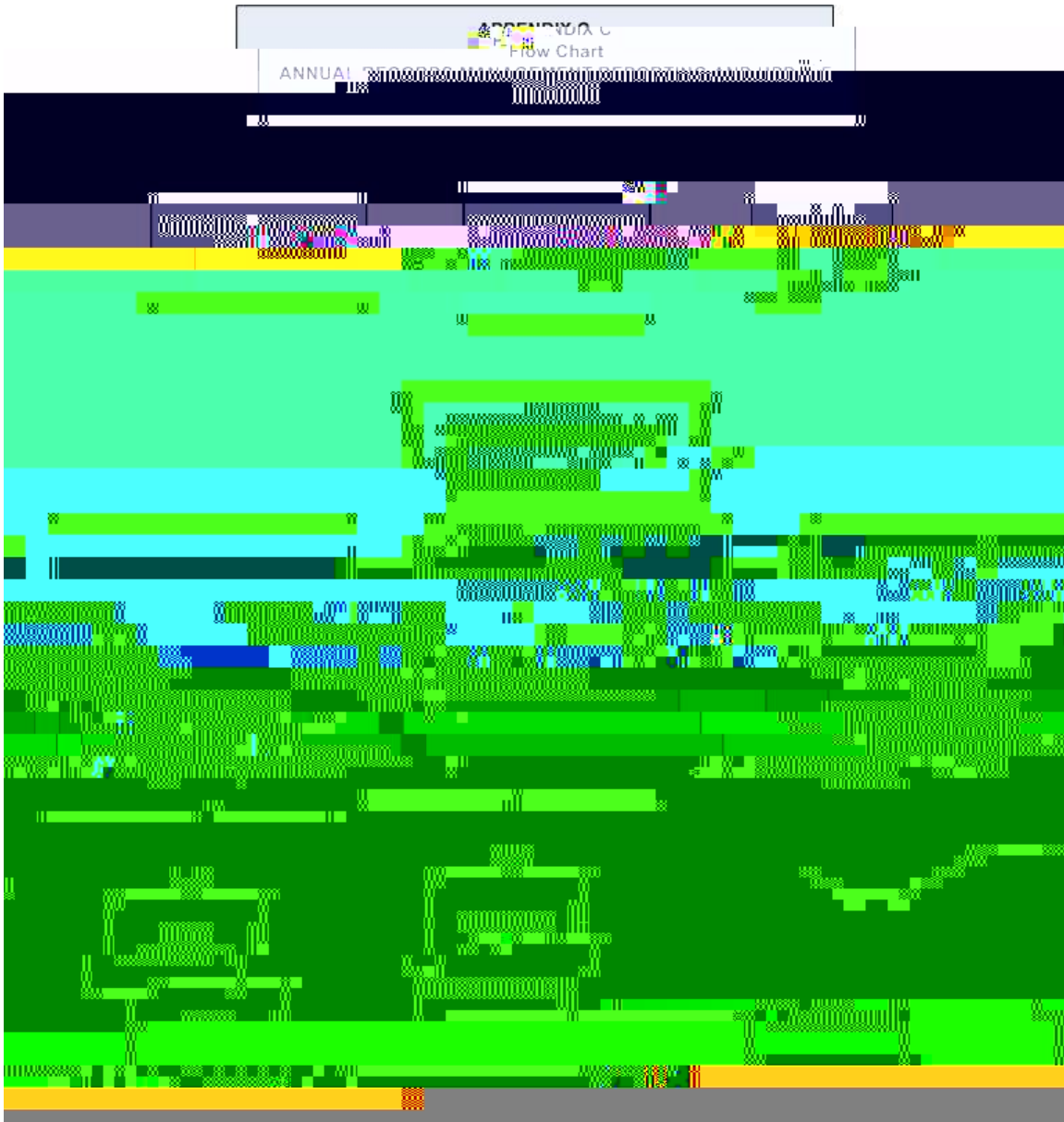
5. Destruction Record

A destruction record is an inventory describing and documenting those records, in all formats, authorized for destruction, as well as the date, agent, and method of destruction. The destruction record itself should not contain confidential information. It is anticipated that in most cases only one copy of the destruction record will be retained, in the office of origin. The destruction record may be retained in paper, electronic, or other formats.

Policy Review

This policy and the record retention schedule will be reviewed annually for the purpose of making any necessary revisions in light of technological developments, changes in legal requirements, or changes in administrative practice. The General Counsel will be responsible for the annual review and update

Appendix B: Flow Chart



Appendix C: Records Retention Schedule

RECORDS RETENTION SCHEDULE/DVW8SGDWHG&JXVW

Record Category	Retention Schedule	Responsible Department
Academic Student Records		
Admissions Records	For applicants who did not enroll, 2 years from start of application term. For students who enrolled, for duration of permanent file.	Admissions
Student Academic Files and Grade Records	Permanent	Registrar
Graduation/Commencement Records	Permanent, transfer to archives after 2 years	Registrar
Master Class Schedules	Transfer to Archives after 2 years; permanent	Registrar
Degree Audit Records (for graduated students)	5 years after date of last attendance	Registrar

Dean's Conference Minutes	3 years	Deans' Offices
Academic Search Records	3 years	Academic Departments
Academic Department Meeting Minutes	3 years	Academic Departments
Academic Administrative Search Records (i.e. Deans, Associate Deans, Associate Provost)	3 years	Provost's Office (except for Provost search documents, which are sent to Human Resources)
Grievances	No cause findings, 3 years from determination. Cause findings, permanent	

Student Publications	Transfer to Archives as distributed; permanent	Student Life
Counseling Center Files	7 years after last scheduled appointment	Counseling Center
Student Health Services Files	7 years after last scheduled appointment	Student Health Services
Student Groups and Organizations	Permanent	Student Life

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Search Retreat		Ministries
Personnel Files, Personnel Information	3 years after employment ends	Office of Campus Ministries
Student Worker Records (budget, time-entry, payroll), Drivers' Training Information, Retreat Registration Cards Community Outreach Budget	1 year	Office of Campus Ministries

Coordinators, Investigators, Decision Makers, and any Person who Facilitates and Informal Resolution Process		
Records of any Actions, Including Supportive Measures Taken in Response to a Report or Formal Complaint of Sexual Harassment or Sexual Misconduct	7 years	Equity & Diversity
Records that Document the Basis for the Conclusion that the University's Decision was not Deliberately Indifferent	7 years	Equity & Diversity
Records that Document that the University has taken Measures Designed to Restore or Preserve Equal Access to the University's Education Program or Activity	7 years	Equity & Diversity
Records that Document the Reasons why Supportive Measures were not Provided	7 years	Equity & Diversity
Employee and Student Requests for Reasonable Accommodations	2 years from making the record or taking the personnel action. When a charge or lawsuit is filed, all relevant records must be kept until final disposition.	Equity and Diversity
Planning, Institutional Research, Assessment, and Accreditation External Data Surveys: Institutional Research (IPEDS,		

Strategic Plans, Tactical Plans

Individual Employment Contracts	3 years after employment ends	Human Resources
Master Salary Records/Files	5 years (electronic)	Human Resources
Vets 100 Report	1 year (electronic)	Human Resources

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VT, and DE state Grants, Need Merit List, Pell Grant Information, Student Folders, SWSP Payroll		
Budgets Reported for State Aid Purposes	5 years	Financial Aid
Fiscal Operations Report, Loan Certification Letters, NETS, PHEAA Documents	Permanent 1 year Until program review	Financial Aid
Purchasing Records		
Bids (not construction related)	Accepted bids – 7 years after bid awarded; rejected bids – 3 years	Purchasing
Construction Contracts, including bids, RFPs, IFBs, specifications, justifications, etc.	Documents related to accepted bids – permanent; documents related to rejected bids – 2 years after completion of the capital improvements	Purchasing
Credit Card Documentation and Receipts Files	Paper and electronic -- completion of an audit or 3 years, whichever is longer	Purchasing
Equipment and Maintenance Records	1 year after disposal or trade-in of equipment	Purchasing
Purchase Orders	7 years; if blanket purchase orders related to an active, open contract, 7 years after completion or termination of contract.	Purchasing
Shipping List and Packing Slips	7 years	Purchasing
Surplus Property Disposal	4 years	Purchasing
Administrative Services Records		
Public Safety Records, Including Incident/Complaint Reports, Accident Reports, Daily Logs, and Public Information Logs	7 years	Public Safety
NCIC Records and Juvenile Records	10 years	Public Safety
Parking Permit Records, Including Sales and Ticket Collection Spreadsheets and Receipts, Parking		

Transaction Reports and Refund Check Vouchers		
Paid Parking Tickets, Tow Records and PA/NJ DMV Records	4 years	Public Safety/Parking
Parking Ticket Appeals Records, Budget Transfer Requests, and Lost and Found Information	2 years	Public Safety/Parking
Records of Inventory, Use and Control of Radioactive Materials	30 years	Environmental Health & Safety (EHS)
Records of Disposal or Abatement of Toxic and Hazardous Waste	30 years	Environmental Health & Safety (EHS)
Records of Hazardous Waste Generation	Permanent	Environmental Health & Safety (EHS)
Records of Hazardous Substances Exposure	30 years after end of employment	Environmental Health & Safety (EHS)
Records of Disposal or Abatement of Asbestos	30 years	Environmental Health & Safety (EHS)
Records of Testing, Inspection and Repair of Fire Protection Equipment	7 years	Environmental Health & Safety (EHS)
Records Related to Measurement of Noise in Work Environment	30 years after end of employment	Environmental Health & Safety (EHS)
Records of Periodic Inspections of Extinguishing Systems	Until container is re-inspected or its life	Physical Plant

Bucket Truck, Personnel Lifts, and Elevator Standards and Certification Records

Written Report and Evaluation of External Disaster Plans	4 years	Physical Plant
Roof Warranty	Life of building	Physical Plant
Utility Readings, Tool Issue Office Equipment Files	Until person leaves Until equipment is replaced	Physical Plant

