CLARK ATLANTA UNIVERSITY

Policy 2.3: Records Retention

CLARK ATLANTA UNIVERSITY		
Policy and Procedures	**Subject:** Records Retention	
Department: Offices of Compliance and Information Technology & Communication	**Review/Revise Date:** 07/15/2012 8/13/2014 03/05/2015	**Issued By:** **Chief Compliance Officer**
	Effective Date: 03/12/15	
Distribution: University-wide	**Required Approval:** **President**	**No. of Pages:** 7 Appendices A-1 thru A-27
Signature of Approver **Carlton E. Brown**		**Date: 3/12/2015**

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1.0 Policy Statement

The Clark Atlanta University (University) is committed to effective records retention to preserve its history, conduct the best business practices, meet legal standards, optimize the use of space, minimize the cost of record retention, and ensure that outdated and unnecessary records are destroyed. The University requires that some specific types of records be retained for specific periods of time and in designated official repositories. The schedules attached to this policy list these records, the time of required retention and the designated repository.

Other records, documents or correspondence (those records not required to be retained or those that are in the possession of individuals or departments other than the official repository for the record) should be disposed of when they are no longer needed for active use by those who possess them.

Record retention periods may change due to changes in the law, government order, contract, litigation, or audit requirements. Such changes supersede the requirements listed in this policy. Those responsible for managing official repositories must do their best to stay abreast of changing requirements.

2.0. Narrative Procedures

Records, documents, email and correspondence of all kinds must be managed according to the procedures that are outlined in this document. This policy applies to records in any form (including paper or electronic) and to records however or by whomever created that belong to the University or were created by University employees, including faculty, as part of their work for the University.

2.1. Information Contacts

Direct any questions about this policy to the respective department's administrator. For questions about the following specific issues, contact the following offices:

Subject	Contact	Telephone
Electronic Media Storage	University Office of Information Technology and Communication	404-880-8954
Permanent Storage of Inactive Records (Iron Mountain Storage Facility)	Office of the Chief Financial Officer	404-880-8441
Destruction of Confidential Records	Office of the Chief Information Officer	404-880-8654
Policy Clarification	University Office of Compliance	404-880-6643

2.2. Retention of Records

The University has operational offices that handle receive, store, process, or disseminate records to ensure University records under their control are not to be destroyed, discarded, sold, or

otherwise disseminated without proper authorization. University records include any stored information, document, or image created, developed, or received by any academic or administrative office of the University in the course of conducting University business or in pursuance of the University's legal obligations.

Due to various durations of federal sponsored awards, the retention of related documents appearing in "Appendix A" may be extended for a longer the period.

2.2.1 Types of Records:
- Permanent Record: A Permanent Record is a type of Record that has enduring value to the institution's existence and operation.
- Temporary Record: A Temporary Record is a type of Record that has only temporary value to the University and is normally not submitted to the Archives. Most of the University's Records are Temporary Records. Some Temporary Records may be considered for retention in the Archives if they have sufficient enduring value.

2.3. Record Retention of University Records and Archival Records

The University has procedures for managing active and archive records. An active record is a record with current use for the unit or individual that generated or possesses it. Records remain active for varying numbers of years, depending on the purpose for which they were created and are used. Users determine whether a record is an Active Record by determining whether they have a current or foreseeable future need to use the record. An archival record is a record that is non-current and inactive; not required to be retained in the office in which it originated or was received; and has historic value. Archival records are retained and preserved indefinitely in the University Archives. The archive records are normally stored at the University's off campus records storage contract facility of the Iron Mountain Company.

The Records Retention Scheduled in Appendix "A" shows the official repositories for University records and archival records, as well as how long these records must be retained.

2.3.1 Repositories and Retention Periods for University's Records

The official repository is the unit designated as having responsibility for retention and timely destruction of particular official university records. Such responsibility is assigned to the unit's administrator or a designee.

- Departments, units and individuals that are not Official Repositories but who possess copies of one or more University Records are not responsible for retaining the records for the retention period and should dispose of the records when the records are no longer in active use by the department or unit.
- No document list can be exhaustive. Questions regarding the retention period for any specific document or class of documents not included in these tables should be addressed to the Office of Compliance.
- Each Official Repository /record custodian/owner decides whether a record has historical value. Care must be taken not to over-include records in this category. It

is intended to apply only to exceptional documents for which long-term retention is in the best interest of the University because the records may be of particular value to future University personnel.

- Historical Value is incapable of a precise definition. The following general principles should be considered to decide if the record has historical value:

    i.   Whether it describes a transaction of decision having lasting impact upon University facilities or programs
    ii. Whether it would serve as a necessary reference to future personnel in strategic planning

2.3.2 The Responsibilities of the Administrative Manager (or designee) of each Official Repository:

- Educate staff in sound record management practices and enforce the provisions of this policy;
- Preserve Archival Records; and
- Limit access to Confidential Records.

2.3.3 Record Retention of All Other Records

Records, documents or correspondence other than University Records and Archival Records should be disposed of when they are no longer needed for active use by those who possess them.   Departments, units and individuals that are not Official Repositories but who possess copies of one or more University Records are not responsible for retaining the records for the retention period and should dispose of the records when the records are no longer in active use.

2.4. Electronic Records and Email

This policy applies equally to records that exist in electronic or paper form. It is the content and function of an email message or electronic record that determines its retention period. Users should retain or dispose of electronic records according to the requirements of the applicable retention schedule attached to this policy just as they would paper records.

2.4.1 University Records kept in electronic form must be stored on network servers, not individual computer or other device hard drives. Consistent with the University's Information Technology Policy, each University Record should be stored in a manner that is accessible by more than one authorized user of the Record, so that the Record remains accessible in the absence of one of those users.

2.4.2. Generally, University records should not be kept in email. The University's email system is not intended for record keeping or storage purposes and backup tapes are overwritten periodically – generally every 30 days. If an email or attachment to an email contains a document that must be retained under this policy, the user must assure that the record is kept in the file or database in which records of the same type generally are kept (for example, material in an email that should be part of a student record must be kept where the school keeps student records, not in individual users' email boxes).

2.4.3 Any email whose function or content does not require retention for any period

under this policy and that is not important to ongoing university business should be routinely disposed of as soon as possible after it is read. This includes, but is not limited to, transitory communications to set up meetings, notices or correspondence concerning a subject not identified on the retention schedule and emails about personal matters.

2.4.4 All electronic documents and email that is pertains to the business of the University created by University employees. Work-related email should be received and sent through each employee's official University email account. Employees who forward email that might constitute a University Record to non-University databases or email accounts must set up forwarding in a way that does not result in the automatic deletion of email from the University-based system. Exclusive use of outside email services to conduct University business that does not involve routing email through University systems is prohibited.

2.5. Document Classification

University data shall be classified into four major categories that are defined as described in this section.

2.5.1 Category I – Public Use:

This information is targeted for general public use. Examples include Internet website contents for general viewing and press releases.

2.5.2 Category II – Internal Use:

This information is not generally available to parties outside the University community, such as directory listings, minutes from non-confidential meetings, and internal (Intranet) websites. Public disclosure of this information would cause minimal trouble or embarrassment to the University. This category is the default data classification category.

2.5.3 Category III – Sensitive/Restricted:

This information is considered private and must be guarded from disclosure; unauthorized exposure of this information could contribute to ID theft, financial fraud and/or violate State and/or Federal laws. This information is considered private and must be guarded from disclosure; unauthorized exposure of this information could contribute to ID theft, financial fraud and/or violate State and/or Federal laws. Data that by their very nature or regulation are private or confidential and must not to be disclosed except to a previously defined set of authorized users.

Examples include data defined as confidential by the Family Educational Rights and Privacy Act (FERPA), employee performance evaluations, confidential donor information, some research data, minutes from confidential meetings, accusations of misconduct, or any other information that has been identified by the University, its contractors or funding agencies, or Federal or State regulations, as private or confidential and not to be disclosed.

2.5.4 Category IV – Highly Sensitive/Restricted:

This is data which must to be protected with the highest levels of security, as prescribed in contractual and/or legal specifications. Data that (1) by their personal nature can lead to identity theft or exposure of personal health information, or (2) a researcher, funding agency or other research partner has identified as highly sensitive or otherwise requiring a high level of security protection.

Some examples are: (i) data classified as secret by the Federal government, (ii) data that is often involved in identity theft (e.g. SSNs), (iii) data described in the Health Insurance Portability and Accountability Act (HIPAA) as needing to be secured, and (iv) data that could lead to financial theft (e.g. credit card information).

2.6. Record Storage and Labeling

Each operational office is to adhere to the guidelines set by the Chief Data Stewards and the Division of Finance and Business Services for storage and labeling of records under its control. There must be physical and environmental protections in place to preserve the confidentiality, integrity, and access to the records.

The guidelines require, at a minimum that labeling be clear, accessible, and legible. The label shall contain the following information:
- The type of information
- The operational office (Data Owner) responsible for the records
- Beginning and ending dates of the contents
- Date of destruction review along with the following notice
  "Record Retention Schedules may have changed since this label was created; consult the current Retention Schedule for guidance before taking action."
- Sequential numbers of a set (e.g., 1 of 4, 2 of 4, etc.), and
- Any special tagging (e.g., "Attorney-Client Privileged", "Regulatory Report", "Permanent", or "Preserved")

2.7. Records Destruction

When records are no longer required to be retained under this policy and are no longer in active use, they should be destroyed or discard.

Only those records retained for a period of time greater than the applicable University retention schedule may be disposed of in accordance with these guidelines. The University's records retention schedules are reflected in Appendix A of this policy.

2.7.1 Record Destruction - Paper

Discard all non-confidential paper records, preferably in recycle bins. Shred or otherwise render unreadable confidential paper records. Paper records containing sensitive/restricted information should be shredded and/or pulped, not simply thrown out with other classes of records or with miscellaneous trash. It is recommended that confidential destruction services, including shredding and pulping, be arranged through the Division of Finance and Business Services – Business Services.

2.7.2 Record Destruction - Electronic

Electronic or machine-readable records containing confidential information require the following for assured and confidential destruction. Delete the contents of digital files and empty the desktop "trash" or "waste basket". The reconstruction and restoration of "deleted" files are quite possible in the hands of computer specialists. With regard to records stored on a "hard drive," it is recommended that commercially available software applications be utilized to remove all data from the storage device. When properly applied, these tools prevent the reconstruction of any data formerly stored on the hard drive. With regard to floppy disks and back-up tapes, it is recommended that these storage devices be physically destroyed. These recommended methods of confidential destruction may be arranged through the data owner/custodian and the Division of Finance and Business Services-Business Services. Non-confidential electronic records may be deleted with simple file or email delete commands. Confidential records stored in University Data Centers also may be disposed of in this manner.

2.7.3 Destruction of Confidential Records (Sensitive/Restricted & Highly Sensitive/ Restrictive)

Confidential electronic records that have been stored outside of University Data Center, for example, on departmental file servers or desktop computers or CDs must be securely disposed of. This is typically done by overwriting the record or by physically destroying the media on which the record is stored. Contact University Office of Information Technology and Communication (OITC) for additional information on secure disposal methods for electronic data.

- Appropriate measures for reasonable care in the disposal of confidential information, including its protection during storage, transportation, handling and destruction are required by the University. In accordance with the "University Protocols," the University uses an outside commercial vendor (e.g. Iron Mountain) to provide permanent records storage, retrieval, and shredding services to assist faculty and administrative staff in the ongoing operation of the University. Only limited storage is available on campus for respective offices, units, and schools.

- The commercial vendor provides secure storage facilities for academic, administrative, employment, financial, historical, and health care records in all formats. The great bulk of stored University records are in paper form, but the University's outside commercial vendor also provides storage facilities for formats other than paper, such as electronic and machine-readable records, still and motion picture film, microfilm, audio and video tape, photographs and prints. The Iron Mountain climate control warehouse is primary an off-campus storage facility for the University to archive records.

2.7.4 Suspension of Record Destruction

The suspension of any records destruction can occur in the event of a claim, lawsuit, government investigation, subpoena, summons or other ongoing matters. Upon services 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 reference above shall be suspended and records related to the legal process, claim, dispute, investigation or audit should not be destroyed.

2.8. Regular Review of Records

Each operational office (Data Owner) shall perform a review of all University records under its control at least once per year or more frequently, if required. The operational office will use the Record Retention Schedule (see Appendix A) that lists types of records and the retention period for each.

3.0. Entities Affected by this Policy

The policy applies to Clark Atlanta University and all its divisions, departments, and units. It applies to all employees, staff and faculty.

4.0 Definition of Key Terms

- **Active Record** – An active record is a record with current use for the unit or individual that generated or possesses it. Records remain active for varying numbers of years, depending on the purpose for which they were created and are used. Users determine whether a record is an Active Record by determining whether they have a current or foreseeable future need to use the record.
- **Archival Record** – An archival record is a record that is non-current and inactive; not required to be retained in the office in which it originated or was received; and has historic value. Archival records are retained and preserved indefinitely in the University Archives.
- **Confidential Information** – Confidential information (sensitive, highly sensitive, and restricted) is personally identifiable information, material the University is obligated by contract to keep confidential, or records that could reasonably be used to the detriment of the University or individuals if read by others.
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- **Official Repository** – The official repository is the unit designated as having responsibility for retention and timely destruction of particular official university records. Such responsibility is assigned to the unit's administrator or a designee. Official repositories of University records are named in the attached tables.
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- **University Record** – A university record is the original or official copy of any record. Official repositories for these records are identified in Tables attached to this document.

- **Data Owner/Custodians -** An individual or unit who has been authorized to be in

physical or logical possession of data. Data Custodians/owners are responsible for protecting the data in their possession from unauthorized access, alteration, destruction, or usage and for providing and administering general controls, such as back-up and recovery systems.

Division of Academic Affairs

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Department meeting minutes	Paper	All Academic Departments and Programs	11	File cabinets	Category II
Course grade books	Electronic	All Academic Departments and Programs	11	Banner Database	Category III
Annual Departmental/Program Reports	Electronic Paper	All academic Departments and Programs	11	Banner Database	Category II
Major and minor programs	Electronic	All Academic Departments and Programs	7	Banner Database	Category II
Program Review Reports	Electronic	All Academic Departments and Programs	11	Banner Database	Category II
Records of the CAU Archives	Paper/ Electronic	Archives	10	Database & Off-site Storage	Category II
Academic Profile Placement	Electronic	Assessment of Student Learning and Development	11	Banner Database	Category II
Academic Profile Test/MAPP Test	Electronic	Assessment of Student Learning and Development	11	Banner Database	Category II
Major Field	Electronic	Assessment of Student Learning and Development	11	Banner Database	Category II
National Exams: GRE, MCAT, GMAT, etc.	Electronic	Assessment of Student Learning and Development	11	Banner Database	Category II
Strong Interest Student Inventory	Electronic	Admissions	11	Banner Database	Category II
Math Placement Exam	Paper	Assessment of Student Learning and Development	11	File cabinet & Off-site Storage	Category II
Foreign Languages Placement	Paper	Assessment of Student Learning and Development	11	File cabinet & Off-site Storage	Category II
Student Files-Honor Program	Paper	Honors Program	11	File cabinet & Off-site Storage	Category II
Faculty Development	Paper	Center for Excellence Faculty Development	11	File cabinet & Off-site Storage	Category II
Faculty Evaluations	Paper	All Academic Departments and Programs	11	File cabinet & Off-site Storage	Category III
Part-time faculty records	Paper	All Academic Departments and Programs	10	File cabinet & Off-site Storage	Category III
Majors and Minors Information	Electronic	All Academic Departments and Programs	6	Banner Database	Category II
Study Abroad Programs	Paper/ Electronic	All Academic Departments and Programs	11	Database & Off-site Storage	Category II
Faculty Syllabi	Paper	All Academic Departments and Programs	11	Database & Off-site Storage	Category II
Adjunct Faculty Contracts	Paper	Provost/Academic Affairs	11	Database & Off-site Storage	Category III
Faculty Handbook	Paper/ Electronic	Provost/Academic Affairs	11	Database & Off-site Storage	Category II

Academic Program Administrative Records	Electronic	Provost/Academic Affairs	11	Banner Database	Category III
Book Order Records	Paper/ Electronic	Provost/Academic Affairs	6	Database & Off-site Storage	Category II
Catalog/Bulletins	Paper/ Electronic	Provost/Academic Affairs (Registrar)	Indefinite	Database & Off-site Storage	Category II
Class Scheduling Records	Electronic	Provost/Academic Affairs	Indefinite	Database & Off-site Storage	Category II
Continuing Higher Education and Summer Session Course Records	Paper/ Electronic	Provost/Academic Affairs	Indefinite	Database & Off-site Storage	Category II
Course Records	Paper/ Electronic	Provost/Academic Affairs	7	Database & Off-site Storage	Category II
Media Equipment and Production Records	Paper/ Electronic	Provost/Academic Affairs	4	Database & Off-site Storage	Category II
New Degree Program and Course Proposal Records	Paper/ Electronic	Provost/Academic Affairs	Indefinite	Database & Off-site Storage	Category II
Non-University Student Program Administration Records	Paper/ Electronic	Provost/Academic Affairs	Indefinite	Database, file cabinets & off-site storage	Category II
Degree Program Proposal, Development and Review Records	Electronic	Provost/Academic Affairs	Indefinite	Database, file cabinets & off-site storage	Category II
Room Scheduling Records	Electronic	Provost/Academic Affairs	1	Database and file cabinet	Category II
Classroom and Laboratory Utilization Reports	Electronic	Provost/Academic Affairs	Indefinite	File cabinets & off-site storage	Category II
Special Academic Programs Records	Electronic Paper	Provost/Academic Affairs	Indefinite	Database, file cabinets & off-site storage	Category II
Radio and Television License Records	Paper	Provost/Academic Affairs (WCLK-TV)	Indefinite	File cabinet	Category II
Daily Broadcast Logs	Paper/ Electronic	Provost/Academic Affairs	Indefinite	File cabinet & database	Category II
Institutional Accreditation Records	Paper/ Electronic	Provost/Academic Affairs	Indefinite	Database & Off-site Storage	Category IV
Lectures and Lecture Series Records	Paper/ Electronic	Provost/Academic Affairs	11	Database, file cabinets & off-site storage	Category II
Visiting Scholar Program Records	Paper	Provost/Academic Affairs	11	File cabinets & off-campus storage site	Category II
National Faculty Exchange Program Records	Paper	Provost/Academic Affairs	11	File cabinets & Off-campus storage site	Category II
Appraisal Records	Paper	Academic Affairs - Art Gallery, Objects and Collections	11	File cabinets	Category II
Collection and Art Acquisition and Exchange Records	Paper	Academic Affairs - Art Gallery, Objects and Collections	11	File cabinets	Category II

Circulation Records	Paper	Academic Affairs - Art Gallery, Objects and Collections	10	File cabinets	Category II
Collection or Art Loan Records	Paper	Academic Affairs - Art Gallery, Objects and Collections	10	File cabinet	Category II
Collections Control Records	Paper	Academic Affairs - Art Gallery, Objects and Collections	10	File cabinet	Category II
Exhibit Records	Paper	Academic Affairs - Art Gallery, Objects and Collections	10	File cabinet	Category II
Records Management Records	Paper	Academic Affairs - Art Gallery, Objects and Collections	10	File Cabinet	Category II
Reference Request Records	Paper	Academic Affairs - Art Gallery, Objects and Collections	10	File cabinet	Category II

Office of Planning Assessment and Research

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Research Databases	Electronic	Office of Planning, Assessment, and Research (OPAR)	3	Database	Category II
Faculty Evaluation Reports	Electronic	OPAR	7	Database, file cabinets & off-site storage	Category II
Senior Survey	Electronic	OPAR	Indefinite	Database, file cabinets & off-site storage	Category II
CAU Fact Book	Electronic	OPAR	Indefinite	Database, file cabinets & off-site storage	Category II
Placement exam results and reports	Electronic	OPAR	10	Database, file cabinets & off-site storage	Category II
Budget Expenditures	Electronic	OPAR	10	Database, file cabinets & off-site storage	Category II
Operational Planning Data	Electronic	OPAR	7	Database, file cabinets & off-site storage	Category II
First Year and Senior surveys	Electronic	OPAR	10	Database, file cabinets & off-site storage	Category II
Census Files	Electronic	OPAR	Indefinite	Database, file cabinets & off-site storage	Category II

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Annual Reports • External Mandatory Surveys/Reports to Fed/State/Regional Agencies • Internal Special Projects and Analytical Reports	Paper/Electronic	OPAR	Indefinite	File Cabinets Hard Drive	Category I, II, III
Operational Plans	Paper	OPAR	7	File cabinets & off- site storage	Category II
Majors/Minors Student Records	Paper	OPAR	10	File cabinets & off- site storage	Category II
Student majors/minors records	Paper	OPAR	10	File cabinets & off- site storage	Category II
Self-Study Reports from various dept.	Paper	OPAR	10	File cabinets & off- site storage	Category II
Internal Review Team Evaluation - Self-Study Reports	Paper	OPAR	10	File cabinets & off- site storage	Category II
Professional Accreditation Reports	Paper/Electronic	OPAR	10	Database, file cabinets & off-site storage	Category II
Institutional Datasets	Electronic	OPAR	Indefinite	Hard Drive	Category II & III
CAU Trend Book	Paper/Electronic	OPAR	Indefinite	File cabinets Hard Drive Online	Category II & III
Annual Institutional Assessment Plans	Paper/Electronic	OPAR	10	File Cabinet Hard Drive	II
Periodic Assessment/Self-Study Reports: • IP/AES Program Reviews • Accreditation Reviews	Paper/Electronic	OPAR	Indefinite	File Cabinets Hard Drive	I & II
Department Annual Plans and Budgets	Paper/Electronic	OPAR	10	File Cabinets Hard Drive	II

Division of Finance and Business Services

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Purchase Orders & Requisitions	Paper/Electronic	Purchasing Office Div, Fin. Bus. Services	7	Database, file cabinets & off-site storage	Category II
Independent Contractor's Agreement	Paper	Div. Finance & Business Services	3	File cabinets & Off-site storage	Category II

Check Request	Paper	Div. Finance & Business Services	7	File cabinets & Off-site storage	Category II
Copier Lease Agreements	Paper	Div. Finance & Business Services	7	File cabinets & Off-site storage	Category II
Laundry Lease Agreement	Paper	Div. Finance & Business Services	7	File cabinets & Off-site storage	Category II
Telecommunication Equipment Lease Agreement	Paper	Div. Finance & Business Services	7	File cabinets & Off-site storage	Category II
Contracts	Paper	Div. Finance & Business Services	7 or contract life if greater	File cabinets & Off-site storage	Category II
Building Files	Paper	Div. Finance & Business Services	Indefinite	File cabinets & Off-site storage & Database	Category II
Travel Policy and Records	Paper/ Electronic	Div. Finance & Business Services	7	Database, file cabinets & off-site storage & Database	Category II
Grant Financial Documents	Electronic	Controller's Office- Grants and Contracts	7 after end of the grant	Banner Database & Other Database	Category II
Operating Budget	Electronic	Budget Office	5	Banner Database	Category II
Vendor History Reports	Electronic	Controller's Office	5	Banner Database	Category II
Bank Statements	Electronic/ Paper	Controller's Office	7	Database, file cabinets & off-site storage	Category II
Travel & Non Travel Expense Reports	Paper	Controller's Office	7	File cabinets & Off-site storage	Category II
Accounts Payable ledgers	Electronic	Controller's Office	7	Banner Database	Category II
Accounts Receivable Ledgers	Electronic	Controller's Office - Student Accounts	7	Banner Database	Category II
Operating Bank Reconciliations	Paper/ Electronic	Controller's Office	7	Database, file cabinets & off-site storage	Category II
Cashier Sessions	Electronic	Controller's Office - Student Accounts	3	Banner Database	Category II
Vendor Checks	Electronic	Controller's Office	7	Banner Database	Category II
Property Physical Inventory	Electronic/ Paper	Controller's Office	7	Database, file cabinets & off-site storage	Category II
Property Damage reports or Disposition Request Records	Paper	Controller's Office	5	File cabinets & Off-site storage	Category II
Vehicle Records	Paper	Controller's Office	5	File cabinets & Off-site storage	Category II
Payroll Ledgers	Electronic	Controller's Office	8	File cabinets & Off-site storage	Category II
Payroll Bank Reconciliations	Paper	Controller's Office	8	File cabinets & Off-site storage	Category II
Payroll Tax Returns	Paper	Controller's Office	indefinite	File cabinets &	Category III

				Off-site storage	
Payroll Timesheets	Electronic/ Paper	Controller's Office-Payroll	7	Database, file cabinets & off-site storage	Category II
Earnings records	Electronic	Controller's Office	7	Banner Database	Category II
Payroll checks	Paper	Controller's Office	7	File cabinets & Off-site storage	Category III
Time, Attendance, and Leave Records	Electronic/ Paper	Controller's Office	7	Database, file cabinets & off-site storage	Category II
Garnishment Records	Paper/ Electronic	Controller's Office-Payroll	4 yrs. after resolution	Database, file cabinets & off-site storage	Category III
Withholding Statement	Electronic/ Paper	Controller's Office	7	Database, File cabinets & Off-site storage	Category II
Student Accounts Receivable File	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Student Billing	Electronic/ Paper	Controller's Office - Student Accounts	5	Database, File cabinets & Off-site storage	Category II
Federal Award Records	Paper	Controller's Office- Grants and Contracts	5	File cabinets & Off-site storage	Category II
Federal Property Reports	Paper	Controller's Office- Grants and Contracts	5	File cabinets & Off-site storage	Category II
Federal Drawdown Reports	Electronic/ Paper	Controller's Office- Grants and Contracts	5	Database, File cabinets & Off-site storage	Category II
Financial Statements	Electronic	Controller's Office	Indefinite	Banner Database	Category II
Audited Financial Statements	Electronic/ Paper	Controller's Office	Indefinite	Database, File cabinets & Off-site storage	Category II
Bond Statements	Electronic/ Paper	Controller's Office	Indefinite	Database, File cabinets & Off-site storage	Category II
Cash journal	Electronic/ Paper	Controller's Office	Indefinite/7	Banner Database, File cabinets, & Off-site storage	Category II
General Ledger	Electronic/ Paper	Controller's Office	Indefinite	File cabinets & Off-site storage Banner Database	Category II
General journal	Electronic/ Paper	Controller's Office	Indefinite	Banner Database, File cabinets & Off-sitestorage	Category II
Payroll journal	Electronic	Controller's Office	Indefinite	Banner Database	Category II
Physical Plant ledger	Electronic	Controller's Office	Indefinite	Banner Database	Category II
Purchases journal	Electronic	Controller's Office	Indefinite	Banner Database	Category II
Voucher journal	Electronic	Controller's Office	Indefinite	Banner Database	Category II

Depreciation Records and Schedules	Electronic	Controller's Office	Indefinite	Banner Database	Category II
Tax Returns	Paper/ Electronic	Controller's Office	Indefinite	Database, file cabinets & off-site storage	Category III
Student Tax Reporting	Electronic	Controller's Office	7	Banner Database	Category III
Independent Contractor Tax Reporting	Paper	Controller's Office	7	File cabinets & Off-site storage	Category II
Labor Contracts	Paper	Controller's Office	Indefinite	File cabinets & Off-site storage	Category II
Vendor Ledger	Electronic	Controller's Office	Indefinite	Banner Database	Category II
Journal entries	Paper	Controller's Office	Indefinite	File cabinets & Off-site storage	Category II
Property Records Deeds and Titles	Paper	Controller's Office	Indefinite	File cabinets & Off-site storage	Category II III?
Perkins Loan: Master Promissory Note	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Loan Disbursement Letter	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Loan Advances	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File, File cabinets & Off-site storage	Category II
Perkins Loan: Entrance Counseling Data	Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Exit Counseling Data	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Demographic Information	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Payment History	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Payment Transmittal Form	Electronic/ Paper	Controller's Office - Student Accounts	7	File cabinets & Off-site storage	Category II
Perkins Loan: Billing Statement	Electronic/ Paper	Controller's Office - Student Accounts	7	File cabinets & Off-site storage	Category II
Perkins Loan: Bankruptcy Data	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Deferment/Forbearance Form	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Loan Cancellation/Teaching Form	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan: Miscellaneous Updates	Electronic/ Paper	Controller's Office - Student Accounts	7	Database, File cabinets & Off-site storage	Category II
Perkins Loan:	Electronic/	Controller's Office - Student	7	Database, File	Category II

Collection Letter	Paper	Accounts		cabinets & Off-site storage	
BUILDING & GROUNDS:					
As-Built Drawings	Paper Electronic	Facilities Management & Services	Indefinite	File cabinets	Category II
Operations & Maintenance Manuals	Paper Electronic	Facilities management & Services	Indefinite	File cabinets	Category II
Warranties	Paper Electronic	Facilities Management & Services	Indefinite	File cabinets	Category II
Construction Contracts	Paper Electroni	Facilities Management & Services	7	File cabinets	Category III
Equip. Maintenance Records	Paper Electronic	Facilities Management & Services	7	File cabinets & Off-site storage	Category II
Equipment Rental	Paper Electronic	Facilities Management	2	File cabinets & Off-site storage	Category II
Service/Vendor Contracts	Paper	Facilities Management & Services	Indefinite	File cabinets	Category III
Building Files	Paper Electronic	Facilities Management & Services	Indefinite	File cabinets & Off-site storage	Category II
Key Issuance Records	Electronic	Facilities Management & Services	7	Soft copy file	Category II
Crisis or Disaster Records	Paper	Facilities Management	5	File cabinets & Off-site storage	Category II
Work Order Record	Electronic	Facilities Management	5	DTZ Software	Category II
HUMAN RESOURCES:					
Affirmative Action Audits, Equal Opportunity & Compliance Records	Paper & Electronic	Human Resources	3 (permanently in electronic format)	Database, File cabinets & Off-site storage	Category II
Employees Personnel Records	Electronic/ Paper	Human Resources	7 (within 10 yrs. reaffirmation)	Database & File cabinets & Off-site storage	Category III
Employees Training Records	Paper	Human Resources	5	File cabinets & Off-site storage	Category II
Employees Medical Health and Safety	Paper	Human Resources	30	File cabinets & Off-site storage	Category III
I-9	Paper	Human Resources	7	File cabinets & Off-site storage	Category III
Immigration	Paper	Human Resources	10	File cabinets & Off-site storage	Category II
Pre-Employment	Paper	Human Resources	4	File cabinets & Off-site storage	Category III
Recruitment	Paper/ Electronic	Human Resources	3	Database, file cabinets & off-site storage	Category II
General Records	Paper	Human Resources	2	File cabinets & Off-site storage	Category II
Grievance Records	Paper	Human Resources	5	File cabinets & Off-site storage	Category III
Payroll Files	Paper	Human Resources	10	File cabinets &	Category III

				Off-site storage	
Salary & Wage Changes	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category III
Unemployment Compensation Claims	Paper	Human Resources	2	File cabinets & Off-site storage	Category III
Worker compensation reports	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category III
Employees Benefits Records	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category III
Volunteer Program Records	Paper	Human Resources	3	File cabinets & Off-site storage	Category II
Employees Employment Verification Records	Paper	Human Resources	I	File cabinets & Off-site storage	Category III
Employment Policies and Procedures Records	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category II
Executive Evaluations Administration Records	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category III
Family and Medical Leave Case Files	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category IV
Graduate Assistantship Applications Records	Paper	Human Resources	5	File cabinets & Off-site storage	Category II
H-1 Visa Scholars Records	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category II
Immigrant Visa Scholars Records	Paper	Human Resources	10	File cabinets & Off-site storage	Category II
J-1 Visa Scholars Records	Paper	Human Resources	3(visa expiration)	File cabinets & Off-site storage	Category II
Layoff Administration Records	Paper	Human Resources	7	File cabinets & Off-site storage	Category II
Merit Increase Performance Appraisal Lists	Paper	Human Resources	1	File cabinets & Off-site storage	Category II
Faculty Exchange Program Records	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category II
Personnel Research Data Records	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category III
Position Descriptions	Paper	Human Resources	5 (until updated)	File cabinets & Off-site storage	Category II
Position Inventory Control Reports	Paper	Human Resources	4	File cabinets & Off-site storage	Category II
Promotion, Tenure, and Salary Increase Records	Paper	Human Resources	7	File cabinets & Off-site storage	Category III
Continuation of Insurance Benefits (COBRA) Records	Paper	Human Resources	3	File cabinets & Off-site storage	Category III
Layoff Faculty & Administration Records	Paper	Human Resources	Indefinite	File cabinets & Off-site storage	Category III
Rejected Employment	Paper	Human Resources	3	File cabinets & Off-site storage	Category II

Applications					
Sabbatical Leave Record	Paper	Human Resources	7	File cabinets & Off-site storage	Category II
Search Records	Paper	Human Resources	4	File cabinets & Off-site storage	Category II
Staffing Policies Records	Paper	Human Resources	2	File cabinets & Off-site storage	Category II
Student & Employees Compensation Records	Paper	Human Resources	2	File cabinets & Off-site storage	Category II
Student Employees Personnel Records	Paper / Electronic	Human Resources	5	Database, file cabinets & off-site storage	Category III
Student Time Records	Electronic	Human Resources	5	Database & Off Site Storage	Category III
Employee Time, Attendance, and Leave	Electronic	Human Resources	4-individual 50 - cum.	Database & Off Site Storage	Category III
Personnel Action Forms	Paper/ Electronic	Human Resources	Indefinite	Database, file cabinets & off-site storage	Category III
Deduction Authorization	Paper/ Electronic	Human Resources	4 yrs. after expires	Database, file cabinets & off-site storage	Category III
Tax Withholding Authorization Records	Paper/ Electronic	Human Resources	5 yrs. after separation	Database, file cabinets & off-site storage	Category III
Treasury					
Endowment Trustee Financial Report	Paper	Div. Finance & Business Services - Treasury	Indefinite	File cabinets & Off-site storage	Category II
Endowment Report	Paper	Div. Finance & Business Services - Treasury	Indefinite	File cabinets & Off-site storage	Category II
Endowment Partnership Agreements and Files	Paper	Div. Finance & Business Services - Treasury	Indefinite	File cabinets & Off-site storage	Category II
Endowment management records	Paper	Div. Finance & Business Services	Indefinite	File cabinets & Off-site storage	Category II
General Dept. files	Paper	Div. Finance & Business Services	7	File cabinets & Off-site storage	Category II
Endowment Statements	Paper	Div. Finance & Business Services	Indefinite	File cabinets & Off-site storage	Category II
Contracts	Paper	Div. Finance & Business Services	Indefinite	File cabinets & Off-site storage	Category II
Copier Lease Agreements	Paper	Div. Finance & Business Services-Auxiliary Services	7		Category II
Laundry Lease Agreements	Paper	Div. Finance & Business Services-Auxiliary Services	7	File cabinets	Category II
Contracts	Paper	Div. Finance & Business Services-Auxiliary Services	10	File Cabinets	Category II
Vendor Checks	Electronic/ Paper	Div. Finance & Business Services-Auxiliary Services	8	Banner Database/Microsoft Office Database/File Cabinet	Category II
Panther Paw ID Card Records	Paper/Electronic	Div., Finance & Business Services - Auxiliary	10	Banner	Category IV

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
		Services			
Identification Cards Records	Electronic	Div., Finance & Business Services - Auxiliary Services	Indefinite	ID Works Database	Category IV
Food Menus	Electronic/ Paper	Div., Finance & Business Services - Auxiliary Services	1	File cabinets	Category I
Alcohol and Beverage Control Records	Paper	Div., Finance & Business Services - Auxiliary Services	5	File cabinets & Off-site storage	Category II
Automatic Call Distribution Records	Paper	Div., Finance & Business Services - Auxiliary Services	7	File cabinets & Off-site storage	Category II
Parking Permits Records/Citations	Paper	Div., Finance & Business Services - Auxiliary Services	2	File cabinets	Category II
Events Administration Records	Paper	Div., Finance & Business Services - Auxiliary Services	5	File cabinets & DTZ	Category II
Postal and Shipping Records (department meter cards)	Electronic	Div., Finance & Business Services - Auxiliary Services	2		Category II
Postal and Shipping Records (accountable packages)	Paper	Div., Finance & Business Services - Auxiliary Services	2	Smart-Track Database	Category II
Food and Alcohol Inventory Records	Paper	Div., Finance & Business Services - Auxiliary Services	5	File cabinets & Off-site storage	Category II
Food Ordering and Delivery Records	Paper	Div., Finance & Business Services - Auxiliary Services	5	File cabinets & Off-site storage	Category II
Vehicle Use Authorization and Request Records	Paper	Div., Finance & Business Services -	5	File cabinets	Category II
Vending Agreements	Paper	Div., Finance & Business Services - Auxiliary Services	Indefinite	File cabinets	Category II

Division of Enrollment Services and Student Affairs

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Grade Change Form	Paper	Office of the Registrar	Indefinite	Student Permanent file	Category III
Change of Address Form	Electronic/ Paper	Office of the Registrar	1	SIS Banner	Category II
Leave of Absence Form	Paper	Office of the Registrar	Indefinite	Student Permanent file	Category II

Final Grades	Electronic	Office of the Registrar	Indefinite	SIS Banner	Category III
Mid-Term Grades	Paper	Office of the Registrar	Indefinite	SIS Banner	Category III
Graduation Records Review Notes/Memos	Paper	Office of the Registrar	Indefinite	Student Permanent file	Category III
Change of Major Form	Electronic	Office of the Registrar	1 month	SIS Banner	Category II
Grade Report	Electronic	Office of the Registrar	Indefinite	SIS Banner	Category III
Official Transcript (Secured Paper)	Paper	Office of the Registrar	Indefinite	Vault	Category III
Diploma	Paper	Office of the Registrar	Indefinite	Mailed to Student Permanent File	Category II
Diploma Request Form	Paper	Office of the Registrar	Indefinite	Student Perm file	Category II
Staff Meeting Minutes - Office of the Registrar	Paper	Office of the Registrar	3	Registrar Office	Category II
IB Score Credit	Paper	Office of the Registrar	Indefinite	Student Perm File/SIS Banner	Category II
Transfer/Transient Transcripts	Secured Paper	Office of the Registrar	Indefinite	Student Permanent File	Category III
University Withdrawal Form	Paper	Office of the Registrar	Indefinite	Student Permanent File	Category II
Change of Name Document	Paper	Office of the Registrar	Indefinite	SIS Banner/Student Perm File	Category II
Registration Form	Paper	Office of the Registrar	5 months	SIS Banner	Category II
Incomplete Grade Form	Paper	Office of the Registrar	1	Vault	Category II
Course Withdrawals Form	Paper	Office of the Registrar	5	Student Permanent File	Category II
Graduation List – Official	Electronic	Office of the Registrar	Indefinite	SIS Banner	Category II
Transcript Request	Paper	Office of the Registrar	3 months	Vault	Category II
Veteran Administration Records	Paper	Office of the Registrar	Indefinite	Student Permanent File/SIS Banner	Category III
Death Notice	Paper	Office of Registrar	Indefinite	Student Permanent/SIS Banner	Category III
Academic Actions (actions taken by institution against a student, including dismissal and suspension)	Electronic	Office of Registrar	10 years after graduation for paper copy	SIS Banner	Category II
Catalog	Paper	Office of Registrar	Indefinite	Category to be filled in by Registrar	Category III
Class Scheduling Records (formulation of class schedules by academic departments)	Paper/Electronic	Office of Registrar	1	SIS Banner	Category II

Course Schedule Change (student add/drop or withdraw from a class during a semester)	Paper/Electronic	Office of Registrar	5 years after graduation date for paper copy	SIS Banner	Category II
Grade Rosters	Paper/Electronic	Office of Registrar	10 years	SIS Banner	Category II
Student Academic Record (institution academic transcripts; high school and non-institutional college transcripts; applications; notices of admissions, readmissions, denial and acceptance; grade reports; record of grade changes; applications for withdrawal from institution; standardized examination reports; letters of recommendation and related documentation and correspondence.	Paper/Electronic	Office of Registrar	Indefinite/ 7 years for all other documents	SIS Banner	Category II
Veteran Records	Paper/Electronic	Office of Registrar	Indefinite/ 3 years following termination of enrollment for paper copy	SIS Banner	Category II
Entrance Interview Form	Paper	Student Services	3	File Cabinets	Category II
Exit Interview	Paper	Student Services	3	File Cabinets	Category II
I-9, Time sheets, Copy of IDs	Paper	Student Services	3	File Cabinets	Category II
CAU Judicial Files	Paper	Dean of Students	5	SC Suite250/ Locked File	Category III
Student Travel Policy	Paper	Dean Of Students	5	SC Suite 250/File cabinet	Category I
Student Handbook	Electronic	Dean Of Students	2	SC Suite 250/File cabinet	Category I
Judicial Records	Electronic	Housing & Residence Life	5	SC Suite250/ Locked File	Category III
Housing Application File	Electronic	Housing & Residence Life	5 or more	Kresge Hall/Locked File	Category III
Housing Contract	Paper	Housing & Residence Life	5	Kresge Hall	Category III
Housing Exception Forms	Paper	Housing & Residence Life	5 or more	Kresge Hall	Category III

Housing Room Inventory Form	Paper	Housing & Residence Life	5 or more	Kresge Hall	Category III
Housing Meal Plan Form	Paper	Housing & Residence Life	5	Kresge Hall	Category III
Housing Contract	Paper	Housing and Residence Life	5	Kresge Hall	Category III
Exemption Form	Paper	Housing and Residence Life	5	Kresge Hall	Category III
Meal Plan Form	Paper	Housing and Residence Life	5	Kresge Hall	Category III
Applications	Paper/Electronic-BDMS	Admissions Office	1	In banker boxes in storage/ Document Manager	Category III
I-94 Departure Record (International Students)	Paper/Electronic-BDMS	Admissions Office	5	Duration of matriculation/ electronic/Document Manager	Category III
Test Scores	Paper	Admissions Office	1	Banker boxes in Storage/Banner System	Category III
Transcripts	Paper	Admissions Office	1	Banker boxes in Storage/Document Manager	Category III
Supporting Documents (i.e. Recommendations, Essays, Resume)	Paper/Electronic	Admissions Office	1	Banker boxes in storage/Document Manager	Category III
Certificate of Eligibility for Nonimmigrant F-1 Student Status - Form I-20	Paper/Electronic-BDMS	Admissions Office	5	Duration of matriculation/electronic/Document Manager	Category III
F-1 student visa and passport information	Paper/Electronic-BDMS	Admissions Office	5	Duration of matriculation/electronic/Document Manager	Category III
Application package with acceptance letter	Paper/Electronic-BDMS	Admissions Office	1	In banker boxes in storage/ Document Manager	Category III
Greek Forum Participation	Electronic/ Paper	Student Activities	2	Pan-Hellenic Advisor/MD 137	Category I
Registered Student University Files	Paper	Student Activities	5	Student Govern. Assoc. File	Category I
Meeting Minutes	Paper	Student Affairs	5	DESSA, SC Suite 250	Category I
Annual Division Operating Budgets	Electronic	Student Affairs	5	Banner Database	Category I
Budget Documentation	Electronic	Student Affairs	5	DESSA, SC Suite 250	Category I
Office Correspondence	Paper	Student Affairs	5	DESSA, SC Suite 250	Category I
Student appeals and	Paper	Student Affairs	5	DESSA, SC	Category I

correspondence				Suite 250	
Medical Records	Paper	Student Health Services	10	SHS, Locked Files Front Office	Category III
Communicable Disease Records	Paper	Student Health Services	3	SHS, Locked Files Front Office	Category III
Health History Forms	Paper	Student Health Services	3	SHS, Locked Files Front Office	Category III
Immunization Reporting Records	Paper	Student Health Services	3	SHS, Locked Files Front Office	Category III
Patient Logs	Paper	Student Health Services	3	SHS, Locked Files Front Office	Category III
Practitioner Schedules	Paper	Student Health Services	3	SHS, Locked Files Front Office	Category III
Student Health Insurance Records	Paper	Student Health Services	5	SHS, Locked Files Front Office	Category III
Counseling Chart	Paper	Psychological Counseling	7	UCC, Locked Files	Category III
Residential Advisor (RA) Employees Records	Paper	Housing Residential Living & Human Resources	10	after employment/ Kresge Hall	Category II

Division of Institutional Advancement and University Relations

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Weekly Reports	Paper/ Electronic	Institutional Advancement - University Relations	1	Computer Drive and Database	Category III
Monthly Financial Reports	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet and Database	Category III
Trustee Financial Reports	Paper/ Electronic	Institutional Advancement Services	5	File cabinet and Database	Category III
Miscellaneous Financial Reports	Paper/ Electronic	Institutional Advancement Services	5	File cabinet and Database	Category III
Employee Performance and Evaluation	Paper	Institutional Advancement Services	10	File cabinet	Category III
Research Profiles	Electronic	Institutional Advancement Services	3	Database Computer Drive	Category IV
Research Printed Documentation	Paper	Institutional Advancement Services	5	File cabinet	Category IV
History & Traditions	Electronic	Alumni Relations	Indefinite	Database Computer Drive	Category II
Homecoming	Electronic	Alumni Relations	Indefinite	Database Computer Drive	Category I

Yearbook	Paper	Alumni Relations	Indefinite	File Cabinet	Category I
Founders Day	Electronic	Alumni Relations	Indefinite	Database Computer Drive	Category I
Reunion	Electronic	Alumni Relations	Indefinite	Database Computer Drive	Category I
National Alumni Association of CAU	Electronic	Alumni Relations	Indefinite	Database Computer Drive	Category I
Alumni Newsletters	Paper/ Electronic	Alumni Relations	Indefinite	File Cabinet	Category I
Alumni Files	Paper/ Electronic	Alumni Relations	Indefinite	Database Computer Drive	Category IV
Alumni Mailing List Records	Electronic	Alumni Relations	5	Database Computer Drive	Category III
Performance Evaluations	Electronic	Alumni Relations	10	Database Computer Drive	Category III
Budget Documentation	Electronic	Alumni Relations	7	Database Computer Drive	Category III
Division Meeting Minutes	Electronic	Institutional Advancement - University Relations	Indefinite	Database Computer Drive	Category III
Annual Division and Campaign Budgets	Electronic	Institutional Advancement - University Relations	7	Database Computer Drive	Category III
Employee Performance and Evaluation Forms	Paper	Institutional Advancement - University Relations	10	File cabinet & Database Computer Drive	Category III
Division Goals	Electronic	Institutional Advancement - University Relations	5	Database Computer Drive	Category II
Proposals	Paper	Institutional Advancement - University Relations	10	File Cabinet	Category III
Board of Trustees Institutional Advancement - University Relations Committee Meeting Minutes	Electronic	Institutional Advancement - University Relations	Indefinite	File cabinet & Database Computer Drive	Category III
Scholarship Agreements	Paper/ Electronic	Institutional Advancement - University Relations	Indefinite	File cabinet & Database Computer Drive	Category IV
Annual & Endowed Scholarship Reports	Paper/ Electronic	Institutional Advancement - University Relations	10	File cabinet & Database Computer Drive	Category III
Procedures Manual	Paper/ Electronic	Institutional Advancement - University Relations	Indefinite	File cabinet & Database Computer Drive	Category I
Donor Honor Roll	Paper/ Electronic	Institutional Advancement - University Relations	10	File cabinet & Database Computer Drive	Category II
Scholarship Files	Paper/ Electronic	Institutional Advancement - University Relations	10	File cabinet & Database Computer Drive	Category III
Stewardship Plan	Paper/ Electronic	Institutional Advancement - University Relations	10	File cabinet & Database	Category III

				Computer Drive	
Endowed Scholarship Reports	Paper/ Electronic	Institutional Advancement - University Relations	10	File cabinet & Database Computer Drive	Category III
Acknowledgment Letter	Paper/ Electronic	Institutional Advancement - University Relations	20	File cabinet & Database Computer Drive	Category IV
Gift Planning totals for each fiscal year	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category III
Gift Planning Information	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category III
Contact Report	Paper/ Electronic	Institutional Advancement - University Relations	20	File cabinet & Database Computer Drive	Category IV
Gift Planning Marketing Cards	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category I
Gift marketing cards mailing list	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category III
Official Meeting Minutes	Paper/ Electronic	Institutional Advancement - University Relations	Indefinite	File cabinet & Database Computer Drive	Category III
Gift Planning Budget	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category III
Credit Card Transactions and Receipts	Paper	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category IV
Operational Plan/Priorities and Targets	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category III
Record of Monthly Visits and Contacts	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category III
Reunion Meeting Attendee Lists	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database Computer Drive	Category III
Prospect List	Paper/ Electronic	Institutional Advancement - University Relations	1	File cabinet & Database Computer Drive	Category IV
Bequests	Paper	Institutional Advancement - University Relations	Indefinite	File cabinet & Database Computer Drive	Category IV
Gift Annuity Agreement	Paper	Institutional Advancement - University Relations	Indefinite	File Cabinet	Category IV
Insurance Policy	Paper	Institutional Advancement - University Relations	Indefinite	File Cabinet	Category IV
Proposals	Paper/ Electronic	Institutional Advancement - University Relations	5	File cabinet & Database	Category III

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
				Computer Drive	
Office of Advancement Services Policy and Procedures Documents	Electronic	Institutional Advancement Services	Indefinite	CAU Website	Category I
Office of Advancement Services Personnel Records	Paper/ Electronic	Institutional Advancement Services	10	File cabinet & Database Computer Drive	Category IV
Office of Advancement Services Budget Documentation	Paper/ Electronic	Institutional Advancement Services	7	File cabinet & Database Computer Drive	Category III
Pledge Agreements	Paper	Institutional Advancement Services	10	File Cabinet	Category IV
Gift Documentation	Paper/ Electronic	Institutional Advancement Services	10	File cabinet & Database Computer Drive	Category IV
Gift Receipt	Paper	Institutional Advancement Services	10	File Cabinet	Category IV
Fiscal Year Evaluation Reports	Paper/ Electronic	Office of Annual Special Giving	10	File cabinet & Database Computer Drive	Category III
Performance Evaluations	Paper/ Electronic	Office of Annual Special Giving	10	File cabinet & Database Computer Drive	Category III
Budget Documentation	Paper/ Electronic	Office of Annual Special Giving	7	File cabinet & Database Computer Drive	Category III
Alumni & Parent Chat Events	Paper /Electronic	Office of Annual Special Giving	10	File cabinet & Database Computer Drive	Category I
Agency Relations Records	Paper/ Electronic	Institutional Advancement - University Relations	7	File cabinet & Database Computer Drive	Category II
News Release Records	Paper/ Electronic	Public Relations	Indefinite	File cabinet & Database Computer Drive	Category II
Photographs	Paper/ Electronic	Public Relations	Indefinite	File cabinet & Database Computer Drive	Category I
Publications Inventory Records	Paper/ Electronic	Public Relations	5	File cabinet & Database Computer Drive	Category II
Publications Records	Paper/ Electronic	Public Relations	5	File cabinet & Database Computer Drive	Category II

Office of the President-Title III, Board of Trustees Admin. and Public Safety

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Title III Annual Report	Paper/ Electronic	Office of Title III	5	File cabinet, database & off-site storage	Category II

Activity Report	Paper/ Electronic	Office of Title III	5	University data base/Dept. network drive	Category II
Inventory Data Base	Paper Electronic	Office of Title III	5	Database Storage File Cabinet	Category II
Time and Effort Sheets	Paper	Office of Title III	5	File cabinet	Category II
CAU's Title III Comprehensive Development Plan	Paper Electronic	Office of Title III	5	File cabinet & database storage	Category II
External Evaluation	Paper Electronic	Office of Title III	5	File Cabinet Dept. Network Drive	Category II
Board of Trustees Meeting Agenda	Paper	Board of Trustees	1	File cabinet & off-site storage	Category II
Board of Trustees Full Board Minutes	Paper/ Electronic	Board of Trustees	Indefinite	File cabinet & off-site storage	Category II
Board of Trustees Committee Minutes	Paper/ Electronic	Board of Trustees	Indefinite	File cabinet & off-site storage	Category II
Board of Trustees Bylaws	Paper/ Electronic	Board of Trustees	Indefinite	File cabinet & off-site storage	Category II
Board of Trustees Directory	Paper	Board of Trustees	Indefinite	File cabinet & off-site storage	Category II
Board of Trustees Member Files	Paper	Board of Trustees	Indefinite	File cabinet & off-site storage	Category III
Board of Trustees Meeting Binder	Paper Electronic	Board of Trustees	Indefinite	File cabinet & off-site storage	Category II
Board of Trustees Resolutions Binder	Paper Electronic	Board of Trustees	Indefinite	File cabinet & off-site storage	Category II
Board of Trustees Prospects Binder	Paper Electronic	Board of Trustees	Indefinite	File cabinet & off-site storage	Category III
Presidential Award Nominations	Paper	President's Office	Indefinite	File cabinet & off-site storage	Category II
Presidential Award Recipients	Paper	President's Office	Indefinite	File cabinet & off-site storage	Category II
Honorary Degree Nominations	Paper	Provost's Office	Indefinite	File cabinet & off-site storage	Category II
Honorary Degree Recipients	Paper Electronic	Board of Trustees	Indefinite	File cabinet & off-site storage	Category II
General Correspondence	Paper Electronic	President's Office	Indefinite	File cabinet & off-site storage	Category II
Board of Trustees Expenses	Paper	President's Office	10	File cabinet & off-site storage	Category II
Commencement Expenses	Paper	Board of Trustees	10	File cabinet & off-site storage	Category II
Commencement Committee Agenda	Paper	Board of Trustees	10	File cabinet & off-site storage	Category II
Commencement Committee Minutes	Paper	Board of Trustees	Indefinite	File cabinet & off-site storage	Category II
Budget Documentation	Electronic	Office of the President	7	Banner Database	Category II

Executive Cabinet Minutes	Paper	Office of the President	Indefinite	File cabinet & Database	Category III
President's Travel Documentation	Paper	Office of the President	5	File cabinet & Database	Category II
Agency Relations Records	Paper	Office of the President	5	File cabinet & Database	Category II
Association and University Advisory Record	Paper	Office of the President	5	File cabinet & Database	Category II
Awards Records	Paper	Office of the President	5	File cabinet & Database	Category II
Committee Records	Paper	Office of the President	5	File cabinet & Database	Category II
Cooperative Program Records	Paper	Office of the President	5	File cabinet & Database	Category II
Correspondence, Executive	Paper	Office of the President	5	File cabinet & Database	Category II
Correspondence, General (Routine)	Paper	Office of the President	5	File cabinet & Database	Category II
Institutional Planning Records	Paper	Office of the President	10	File cabinet & Database	Category II
Lobbyist Records	Paper	Office of the President	5	File cabinet & Database	Category II
Election Records Faculty and Staff Organizations	Electronic	Office of the President	7	Banner Database	Category II
Special Event Records	Paper	Office of the President	5	File cabinet & Database	Category II
Special Activity Records	Paper	Office of the President	Indefinite	File cabinet & Database	Category II
Signature Authorizations - Purchasing and Contracting	Paper	Office of the President	Indefinite	File cabinet & Database	Category II
PUBLIC SAFETY:					
Incident Reports	Paper/ Electronic	Campus Public Safety Dept.	2	File cabinet and database server	Category III
Dispatch Log	Electronic	Campus Public Safety Dept.	2	Database server	Category II
Shift Administrative Documentation Package	Paper/ Electronic	Campus Public Safety Dept.	7	File cabinet and database server	Category II
Staff Training Record	Paper/ Electronic	Campus Public Safety Dept.	3	File cabinet and database server	Category II
Unit file	Paper/ Electronic	Campus Public Safety Dept.	7	File cabinet and database server	Category II
Phone / Radio Audio Logs	Audio/ Electronic	Campus Public Safety Dept.	2	File cabinet and database server	Category III
Parking Citations	Paper/ Electronic	Campus Public Safety Dept.	2	File cabinet and database server	Category II

Office of the President – Athletics Department

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Intramural Sports Waivers	Paper	Athletics	Indefinite	File cabinet	Category II
Sports Information Profile	Paper/ Electronic	Athletics	6	File cabinet, Database	Category II
NCAA Score/Stat Reporting	Paper/ Electronic	Athletics	Indefinite	File cabinet, Database	Category II
Physical Examination Form	Paper	Athletics	6	File cabinet	Category III
Scholar-Athlete Insurance Form	Electronic	Athletics	6	File cabinet	Category III
Scholar-Athlete Biographical Information	Electronic	Athletics	6	File cabinet & Database	Category II
Pre-participation Medical History Form	Electronic	Athletics	6	File cabinet & Database	Category III
Insurance Records	Paper	Athletics	7	File cabinet	Category III
Insurance Company Claim Form	Paper	Athletics	7	File cabinet	Category III
Claims Payment Records	Paper	Athletics	7	File cabinet	Category III
Interoffice Transmittals	Paper/ Electronic	Athletics	6	File cabinet & email	Category II
Order for Diagnostic X-ray	Paper/ Electronic	Athletics	6	File cabinet & database	Category III
Student-Athlete Authorization Consent for Disclosure of Protected Health Information	Paper	Athletics	6	File cabinet	Category III
Catastrophic Injury Records	Paper/ Electronic	Athletics	7	File cabinet & Database	Category III
Out-Sourced Medical Reports	Paper/ Electronic	Athletics	10	File cabinet & Database	Category III
Pre-participation Physical Reimbursement	Paper/ Electronic	Athletics	6	File cabinet & Database	Category III
Annual Fund Drive Records	Paper	Athletics	10	File cabinets	Category II

CAU College Incident Report	Paper	Athletics	6	File cabinet & Database	Category III
Emergency Medical Release & Liability Waiver	Paper	Athletics	6	File cabinet & Database	Category III
Verification of Receipt of Reimbursement	Paper	Athletics	6	File cabinets	Category II
Post-Season Participation Update/ Questionnaire	Paper	Athletics	6	File cabinets	Category II
Decree of Medical Document	Paper	Athletics	6	File cabinet & Database	Category III
Radiographs	Paper	Athletics	6	File cabinet & Database	Category II
Release Waiver of Liability and Covenant Not To Sue	Paper	Athletics	6	File cabinet & Database	Category III
Game Management Sign In Sheet	Paper	Athletics	1	File cabinets	Category II
Facilities Request Form	Paper/ Electronic	Athletics	1	File cabinet and database	Category II
Panther Athletics Questionnaire	Electronic	Athletics	1	File cabinet and database	Category II
Athletic Travel Waiver	Paper	Athletics	1	File cabinet and database	Category II
Travel Authorization Form/itinerary	Paper	Athletics	1	File cabinet and database	Category II
NCAA Student Athlete Statement	Paper	Athletics	6	File cabinet and database	Category II
NCAA Drug Testing Consent Form	Paper	Athletics	5	File cabinet and database	Category III
Eligibility and Clearance Information Sheet and Statement	Paper	Athletics	10	File cabinet and database	Category II
Athletic Compliance Committee Records	Paper	Athletics	7	File cabinet and database	Category II
Injury Surveillance System	Electronic	Athletics	10	File cabinet and database	Category III
Drug Testing File	Paper	Athletics	6	File cabinet and database	Category III
Game DVD & Tape Management	Video	Athletics	1	File cabinet and database	Category II
Department Minutes	Paper	Athletics	3	File cabinet & computer hard drive	Category II
Game Contest Contracts (Home/Away)-Football, Basketball, Volleyball, Softball, Track, Tennis	Paper	Athletics	2	File cabinet drive	Category II
In Care of An Emergency (I.C.E.)	Paper	Athletics	5	File cabinet & computer hard	Category II

				drive	
NCAA Compliance Assistant Software Internet (CASI)	Electronic	Athletics	Indefinite	File cabinet and database	Category II
Compliance Coaching forms	Paper	Athletics	5	File cabinet & computer hard drive	Category II
NCAA Compliance Forms	Paper	Athletics	6	File cabinet & computer hard drive	Category II
NCAA Violation Reports	Paper	Athletics	Indefinite	File cabinet & computer hard drive	Category II
Monthly Budget Reports	Paper	Athletics	6	File cabinet & computer hard drive	Category II
Vehicle Travel Logs/Gas Receipts	Paper	Athletics	5	File cabinet & computer hard drive	Category II
NCAA Institutional Self-Study Guide (ISSG)	Paper	Athletics	Indefinite	File cabinet and database	Category II
Injury Surveillance System	Electronic	Athletics	10	File cabinet and database hard drive	Category II
Game Day Totals	Paper	Athletics	3	File cabinet and database hard drive	Category II
Game Tickets and Ticket Orders	Paper	Athletics	3	File cabinet and database hard drive	Category II
Play Books	Paper	Athletics	5	File cabinet and database hard drive	Category II
Photographs and Films	Paper	Athletics	Indefinite	File cabinet and database	Category II
Athletic Fundraising and Event Records	Paper	Athletics	Indefinite	File cabinet and database hard drive	Category II
Recruiting Records	Paper	Athletics	5	File cabinet and database hard drive	Category II
Athletic Eligibility Records	Paper	Athletics	10	File cabinet and database hard drive	Category II
Donor Recognition Records	Paper	Athletics	5	File cabinet and database hard drive	Category II
Game Statistics	Paper	Athletics	Indefinite	File cabinet and	Category II

				database hard drive	
Competition Record Forms	Paper	Athletics	10	File cabinet and database hard drive	Category II
Practice Schedule Records	Paper	Athletics	5	File cabinet and database hard drive	Category II
Student Athletes Academic Advising Records	Paper	Athletics	5	File cabinet and database hard drive	Category II
Sports Merchandising Records	Paper	Athletics	4	File cabinet and database hard drive	Category II

Office of Information, Technology, and Communication

Record Title	Type of Record	Department	Duration (Years)	How and Where Stored?	Category Type of Data *
Email Backup	Electronic	OITC	Indefinite	Email server	Category II
Technology Inventory	Electronic	OITC	7	File cabinet and database	Category II
Change Management Form	Paper/ Electronic	OITC	5	File cabinet and database	Category II
Computer System Maintenance Records	Paper/ Electronic	OITC	Indefinite	File cabinet and database	Category II
Computer System Program Documentation Records	Paper/ Electronic	OITC	Indefinite	File cabinet and database	Category II
Forms Development Records	Paper/ Electronic	OITC	Indefinite	File cabinet and database	Category II
Information System Planning and Development Records	Paper/ Electronic	OITC	Indefinite	File cabinet and database	Category II
Software Management Records	Paper/ Electronic	OITC	Indefinite	File cabinet and database	Category II
Telecommunication System Management Records	Paper/ Electronic	OITC	Indefinite	File cabinet and database	Category II
Electronic Data Processing (EDP) Request	Electronic	OITC	5	File cabinet and database	Category II
Network and Computer, Server Password and Security	Paper/ Electronic	OITC	5	File cabinet and database	Category II
Disaster Preparedness and Recovery Plans	Paper/ Electronic	OITC, Facilities & Public Safety Dept.	10	File cabinet and database	Category II
Telephone	Paper/	OITC	5	File cabinet and	Category II

				database	
Complaints/Fraud Records	Electronic			database	
Work Orders Records	Electronic	OITC	2	File cabinet and database	Category II
Long Distance Authorization Code Ordering and Assignment Form	Paper/ Electronic	OITC	2	File cabinet and database	Category II

Division of Research and Sponsored Programs					
Research Protocol documents submitted to the Institutional Review Board (IRB)	Paper/ Electronic	Office of Research and Sponsored Programs	3 yrs. after protocol or award project end date	File cabinet and database computer hard drive	Category II
Conditional Approval Letter	Paper/ Electronic	Office of Research and Sponsored Programs	2 yrs. from notification date	File cabinet and database computer hard drive	Category II
Minutes of Institutional Review Board (IRB) meetings	Paper/ Electronic	Office of Research and Sponsored Programs	3 years from meeting date	File cabinet and database computer hard drive	Category II
Continuing IRB Applications	Paper/Electronic	Office of Research and Sponsored Programs	3 years after protocol end date	File Cabinet and database computer hard drive	Category II
List of Institutional Review Board members	Electronic	Office of Research and Sponsored Programs	3 years after renewal date	File cabinet and database computer hard drive	Category II
Written IRB procedures	Electronic	Office of Research and Sponsored Programs	Indefinite	File cabinet and database computer hard drive	Category II
Records of continuing IRB applications & activities	Paper/ Electronic	Office of Research and Sponsored Programs	3 yrs. after protocol or award project end date	File cabinet and database computer hard drive	Category II
Correspondence between IRB and investigators	Electronic	Office of Research and Sponsored Programs	5	File cabinet and database computer hard drive	Category II
Statements of significant new findings, provided to participants	Electronic	Office of Research and Sponsored Programs	Indefinite	File cabinet and database computer hard drive	Category II
Listing of Core Equipment	Paper/Electronic	Office of Research and Sponsored Programs	Indefinite	File cabinet and database computer hard drive	Category I

Pending Proposals Submissions	Paper/ Electronic	Office of Research and Sponsored Programs	3 yrs. after submission date to sponsoring entity	File cabinet and database computer hard drive	Category II
Awarded Projects including: contracts, grants, purchases, orders, agreements, etc.	Paper/ Electronic	Office of Research and Sponsored Programs	3 yrs. after submission of final report to sponsoring entity	File cabinet and database computer hard drive	Category II
RSP Policy and Procedures	Paper/Electronic	Office of Research and Sponsored Programs	Indefinite	File cabinet and database computer hard drive	Category II
RSP Academy Training attendance records and evaluations	Paper/Electronic	Office of Research and Sponsored Programs	7 years from the date of completion	File cabinet and database computer hard drive	Category II
Division File	Paper/electronic	Office of Research and Sponsored Programs	10	File cabinet and database computer hard drive	Category II
Budget Expenditures	Electronic	Office of Research and Sponsored Programs	10	Database, file cabinets & off-site storage	Category II
Annual Reports	Electronic	Office of Research and Sponsored Program	10	Database, file cabinets & Off-site storage	Category II
Division Desktop Policies and Procedures	Electronic	Office of Research and Sponsored Programs	Indefinite	File cabinet and database computer hard drive	Category II
Laboratory Inspection Records	Paper/ Electronic	Office of Research & Sponsored Programs	7 years from date of completion	File cabinet and database computer hard drive	Category II
Perpetual Lab Chemical Inventory	Paper/ Electronic	Office of Research & Sponsored Programs	7 years from date of completion	File cabinet and database computer hard drive	Category II
Lab Safety & Emergency Management Committee Meetings Minutes	Paper/ Electronic	Office of Research & Sponsored Programs	3 years from meeting date	File cabinet and database computer hard drive	Category II

General Counsel					
Litigation	Paper/ Electronic	Office of General Counsel	Indefinite	File cabinet and database	Category IV
Other Legal Claims	Paper/ Electronic	Office of General Counsel	Indefinite	File cabinet and database computer hard drive	Category IV
Legal Matters	Paper/ Electronic	Office of General Counsel	Indefinite	File cabinet and database computer hard	Category IV

				drive	
Bankruptcy Records	Paper	Office of General Counsel	Indefinite	File Cabinet	Category IV
Garnishments	Paper	Office of General Counsel	Indefinite	File Cabinet	Category IV
Corporate Records	Paper	Office of General Counsel	Indefinite	File Cabinet	Category IV
Attorney Engagement Agreements	Paper	Office of General Counsel	Indefinite	File Cabinet	Category IV
Closed Files	Paper	Office of General Counsel	Yearly	File Cabinet	Category IV
Purchase Requisitions	Paper	Office of General Counsel	Yearly	File Cabinet	Category II
Purchase Order	Paper	Office of General Counsel	Yearly	File Cabinet	Category II
Invoices	Paper	Office of General Counsel	Yearly	File Cabinet	Category II

Compliance Office					
University Policies and Procedures Records	Paper/ Electronic	Office of Compliance	Indefinite	File cabinet and database computer hard drive	Category II
Hotline Complaint Records	Paper/ Electronic	Office of Compliance	10	File cabinet and database computer hard drive	Category III
Investigative Reports	Paper/ Electronic	Office of Compliance & Internal Audit	10	File cabinet and database computer hard drive	Category III
Investigative Supporting Documents	Paper/ Electronic	Office of Compliance & Internal Audit	10	File cabinet and database computer hard drive	Category III
Audit Reports	Paper/ Electronic	Office of Compliance & Internal Audit	7	File cabinet and database computer hard drive	Category II
Audit Reports Work papers	Paper/ Electronic	Office of Compliance & Internal Audit	7	File cabinet and database computer hard drive	Category II
Management Advisory Report and Documentation	Paper/ Electronic	Office of Compliance & Internal Audit	7	File cabinet and database computer hard drive	Category II
Professional Membership Records	Paper/ Electronic	Office of Compliance	5	File cabinet and database computer hard drive	Category II

Data Categories:

Category I -   Public Use: This Information is targeted for general public use. Examples include Internet website contents for general viewing and press release

Category II -   Internal Use: Information not generally available to parties outside of the University, such as minutes from non-confidential meetings, and internal website. Public disclosure of this information would cause minimal trouble or embarrassment to the University. This category is the default data classification category.

Category III – Sensitive/Restricted: This information is considered private and must be guarded from disclosure; unauthorized exposure of this information could contribute to ID theft, financial fraud, and/or violate state and federal laws.

Category IV - Highly Sensitive/Restricted: Data which must be protected with the highest levels of security, as prescribed in contractual and/or legal specifications.