

**Business and Finance**  
**Guidelines Title: Record Retention**  
**Created 11/1/2004    Updated 5/3/2010**

**Purpose: To provide guidelines for record retention.**

Send guideline comments to: [Web Administrator](#)  
 Responsibility for Administration: All Departments  
 Department Guidelines Resides in: Business and Finance

WORKING DOCUMENT

The following General Records Retention Guidelines contains minimum retention periods for the official copy of the institution’s records. Note this is a working guide and therefore, changes can and will be made as necessary. This is not a policy. (Documents are kept in office files unless otherwise noted.)

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## **GOVERNING BOARD**

### **1-1. Governing Board Meeting Minutes**

Records of official proceeding of university governing bodies. Information includes agenda, date, place, list of attendees, action taken on resolutions, and a summary of discussion and decision. Official minutes also include all informational attachments such as reports, survey, proposals, studies and charts distributed to members for discussion, and for use in making decisions on institution policy, planning, and administrative matters.

#### **Retention**

- Office: 3 years
- College or University Archives: Permanent

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## **PRESIDENT'S OFFICE**

### **2-1. Administrative Correspondence**

Concerns communications received and generated by the institution's president.

letters pertain to information request, responses to those inquiries; matters related to the board of trustees; administrative and fiscal operations of the institution; consultations with presidents of various colleges or universities; information pertaining to professional organizations and educational authorities; and other related topics.

**Retention**

- Office: 3 years
- College or University Archives: Permanent

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**2-2. Administrative Files**

Document executive actions, decisions and interactions with key officials of the institution. Information in the form of memoranda, policy statements, and reports concerns accreditation requirements, budget material, department activities, faculty and student relations, tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, personnel matters, academic requirements, student athletic issues, and other related topics. Also included are draft copies of speeches.

**Retention**

- Office: 3 years
- College or University Archives: Permanent

**2-3. Meeting Minutes of President's Executive Staff**

Document meeting held by a university president with his or her executive staff. Information include agenda, date, names of attendees, a summary of discussion, decisions made, and other related information.

**Retention**

- Office: 5 years
- College or University Archives: Permanent

**2-4. Resource Files**

Consists of manuals, informational bulletins, and guidelines required for long term reference in the administration of the institution. Information includes academic issues, copies of personnel policies, National Collegiate Athletic association material, Commission on Higher Education activities, copies of state and federal laws or regulations governing the administration of private colleges and universities, fiscal procedures, institution organizational matters, student government activities, and other related subjects.

**Retention**

- Until superseded, or nor longer needed for reference.

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**PROVOST AND VICE PRESIDENTS**

**3-1. Administrative Correspondence**

Correspondence is related to the administration of an institution or its major departments and divisions. Communications concern management activities, priorities for academic affairs, major business and finance matters, physical plant maintenance, important student related matters, and athletics administration. These letters are usually found at the institution's provost and vice president levels.

**Retention**

- Office: 3 years
- College or University Archives: Permanent

### **3-2. Administrative Files**

Documents actions of a private university's provost or vice presidents. Information includes memoranda and reports concerning institutions policy, organization and program development records, and important fiscal data and personnel information. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a private college or university.

#### **Retention**

- Office: 3 years
- College or University Archives: Permanent

### **3-3. Faculty Senate Records**

Monthly (academic year) meeting minutes are published at the beginning of the next meeting.

The other documents are auxiliary to the functioning of faculty governance. Type of Records include: meeting minutes, rules, regulations, and election materials.

#### **Retention**

- Office: Permanent
- College or University Archives: Permanent

### **3-4. International Center**

Information relating to international operations. Including but not limited to Admission's materials, immigration documents, academic information, study abroad student files, and employment files.

#### **Retention**

- Office: 5 years (Includes Int'l Student files, Int'l Center office files, and Study Abroad files)
- College or University Archives: Files no longer needed, then shredded
- Office: (Employment files) Permanent
- College or University Archives: Files no longer needed, then shredded

### **3-5. New Employee (Faculty)**

All documents pertaining to processing a new employee.

#### **Retention**

- Office: Permanent
- College or University Archives: Permanent

### **3-6. Center for Digital Technology and Learning Development Grants**

Documents for disbursing development grants each year.

#### **Retention**

- Office of:
  - Grants=Permanent Electronically
  - Provost=Permanent
- College or University Archives: Permanent

### **3-7. Academic Academic Assistance and Student Services**

Documents pertaining to student progress, correspondence with students, meeting notes, and budget summaries.

**Retention**

- Office: Until student graduates
- College or University Archives: Permanent (Kinne Center Vault)

**3-8. Associate Provost Records**

Documents include Deans' Council minutes, research data, survey data, salary analyses, grant programs, and self study materials for accreditation.

**Retention**

- Office: (meeting, salary, accreditation documents)=Permanent
- Research (electronic on computer on Assoc. Provost's computer)=5 years
- Surveys (electronic on Assoc. Provost's computer)=7 years
- Grant Program document applications=3 years
- Grant award records=10 years
- College or University Archives: Permanent

**3-7. Office of the Provost**

Documents of various communications and various personnel information.

**Retention**

- Office: Until no longer needed
- College or University Archives: Some are Permanent

**3-8. Chemical Inventory**

Documents pertaining to the safety and storage of chemicals in primarily science buildings. Documents such as, inventory sheet including where chemical is stored, date of inventory, written chemical disposal policies and staff awareness documents, inspection checklists and summary reports, list of hazardous waste generators, incident reports, chemical hygiene plan, emergency contact information, satellite waste accumulation log, MSDS reports, list of surrendered drugs to Drug Enforcement Agency, and correspondence with Environmental Protection Agency.

**Retention**

Pertinent Office that Created document:

- Inventories: 1 year
- Guides and Plans: Until no longer needed
- Reports of: Training, Incidents, Logs: 3 years after employee is no longer employed by Drake
- Lists of Hazardous Waste: Generators, Safety Data, MSDS reports, Shipping Manifests, Drug
- Enforcement inventories, and Environmental Correspondences, Testing Results, Waste removal
- statements, Handler Information Reports: 30 years after DU no longer generates hazardous waste
- Contact List: Updated annually or as changes occur
- College or University Archives: 30 years after Drake office copy is no longer needed

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## **ADMINISTRATIVE SERVICES**

### **4-1. Accreditation Reports**

Used to record observations, recommendations and decisions of visiting accreditation committee members. These reports are received from study committees of accreditation associations for colleges and universities. Reports reflect suggestions and recommendations concerning an institution's organizational structure and administration, educational programs, financial resources, faculty qualifications, library resources, student body characteristics physical plant features and vital area for institutions of higher learning. Also included are remarks prepared by institution officials to respond to the committee's observations and suggestions.

#### **Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent (by Department, College, School)

### **4-2. Administrative Staff Meeting Minutes**

Records of meetings held by administration officials with administrative staff. Information includes agenda, place, date, list of attendees and a summary of discussions and staff decisions. Also included are informational attachments such as reports, proposals, memoranda and other information distributed to officials and staff for use in making decisions concerning administrative services for an institution.

#### **Retention**

- Until no longer needed for reference (By Department)

### **4-3. Administrative Bulletins**

Used to record and circulate information concerning policies, procedures, and administrative activities of a college or university. Information includes administrative directives to staff and faculty assignments, educational opportunities, new policies and policy changes, academic program requirements and other related information.

#### **Retention**

- Until no longer needed for reference (by Department)

### **4-4. Administrative Regulations**

Issued by the Commission on Higher Education or governing body and used for the general operation of college or university programs. Information includes regulations, instructions, or other issuance's that establish methods to administer a college or university's mission, functions, and responsibilities.

#### **Retention**

- Until superseded and no longer needed for reference (by Department)

### **4-5. Annual Reports**

Published report of college or university governing body made annually to the Board of Trustees. Information includes financial summaries, objectives, goals, and other data concerning the college or university during the fiscal year. Most annual reports contain an organizational chart, along with brief narratives, and statistical information concerning each major section and division of the college or university.

#### **Retention**

- Office: Until no longer needed for reference (Marketing and Communications)
- College or University Archives: Permanent (President's Office)

#### **4-6. Attorney General Opinions**

Official opinions issued by attorneys and his/her assistants. These are legal interpretations written upon request of a college or university to guide in enforcing and obeying the law. Also included is related correspondence. the record copy of this series is maintained permanently by the Attorney's office.

##### **Retention**

- Until superseded or no longer needed for reference (By Department)

#### **4-7. Calendars**

Used to keep track of work related events and commitments of college or university staff members. Information includes daily appointment books, calendars, and other records indicating dates for meeting and work activities.

##### **Retention**

- 3 years (by Department)

#### **4-8. Central Supply Request**

Document copies of central supply requests processed for a college or university. Information includes date, department account code, requisition, item number, quantity ordered, quantity used, description, price, extension, deliver to, and location.

##### **Retention**

- 3 years (by Department, Accounting)

#### **4-9. Committee Files**

Document actions and recommendations of committees, established to provide advice on policy matters and other management topics. Information consists of letters, memoranda, and other paper work concerning budget matters, maintenance of facilities, curriculum development, utilization of state/federal funds, purchase or sale of property and other subjects related to the institution administration, operation and academic programs.

##### **Retention**

- Office: 5 years
- College or University Archives: Permanent (hard copy or electronic) (By Department)

#### **4-10. Conferences, Workshops, and Seminars file (College or University Sponsored)**

Files concerning each conference, workshop or seminar sponsored by the college or university. Information includes registration material, letters, brochures, lists of restaurants, hotel listings, and other related information.

##### **Retention**

- Until no longer needed for reference (By Department)

#### **4-11. Deeds and Leases to College or University Property**

Document deeds and leases to real property owned or used by the University. Information includes description and location of the property, maps, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence.

##### **Retention**

- Permanent (Bus&Fin, Facilities, Real Estate, some by Department)

#### **4-12. Grant Files (Active and Inactive)**

Used to retain information concerning financial grant assistance received by a supported college or university. Files contain some or all the following:

documents: statement of budget and expenditures, notices of grants awarded, financial status reports, authorization for transfer of grant funds, draft copies of detailed budgets for programs, copies of federal assistance, educational grants, student loan and work study programs, financial assistance for veterans and career professionals, and other related information.

**Retention**

- Office: Time period required by the granting agency.
- Archives: Grant award letters, final grant reports, & final 269 reports kept indefinitely.

(Grants and Funded Programs)

**4-13. General Correspondence and Reference File**

Routine correspondence and reference materials created or retained by administrative staff. Letters and memoranda reflect communications regarding program procedures, general work activities, and responses to information requests. Also included are copies of policy and procedure statements, program information, reports and other related material.

**Retention**

- 2 years or until no longer needed for reference. (Per Department)

**4-14. Internal Management Policy and Procedure Files**

Policies, procedural directives and manuals developed by an institution to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

**Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent (per Department)

**4-15. Legislative Reference Files**

Records pertaining to bills, prospective legislation and laws. Information includes bill and supporting material concerning proposed legislation, such as newspaper clippings, reports and correspondence. The series also includes copies of approved legislation.

**Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent (By Department)

**4-16. Litigation Case Files**

Document judicial proceedings, which involve the college or university. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information. Portions of this series may be kept permanently by the Archives through the Attorney's office over these cases.

**Retention**

- 6 years after the case is closed (Bus&Fin, Human Res., Attorney)

**4-17. Mailing lists**

Used to record the names and addresses of clients and other persons with whom

the college or university has regular contact. Information includes mailing lists, and registers concerning employees, officials, and constituent, whom college or university staff communicate with regularly.

**Retention**

- Until superseded (Accounting, Human Resources, Information Technology)

**4-18. Management Information Reports**

Provide information concerning general administration, facilities management and student enrollment. Reports concern surveys, facility inventories, student enrollment figures and projections, and other related topics.

**Retention**

- Until superseded and no longer needed for reference (Data Collections Dept.)

**4-19. Organization Charts**

Reflect the organizational structure of a college or university and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of an institution's departments and program areas by name and function.

**Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent (by Department)

**4-20. Permanent Building or Land Improvement Files**

Files concern construction of and permanent improvements to the college or university's facilities. Information includes project proposal, capital improvement requests, authorizations to execute construction contracts, cost estimates, construction contracts, related memoranda, correspondence, blueprints, and specifications.

**Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent (1 copy) (Bus&Fin/Facilities)

**4-21. Photographs**

Photographic proofs and negatives of college or university activities. photographs may include identification according to time, place, and college or university activity.

**Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent (Bus&Fin/Market&Comm)

**4-22. Property Inventories**

Itemized lists of fixed assets (except land and buildings) completed by institutions. Information includes inventories of equipment, furniture, and other similar property purchased with university funds.

**Retention**

- 3 years after superseded or updated. (Bus&Fin/Facilities)

**4-23. Public Relations File**

Information concerning college or university publicity. Included are press releases biographies, newspaper clippings, promotional materials, bulletins, broadcast scripts, photographs, visual documentation, and other related items.

**Retention**

- Until no longer needed for reference (Marketing and Communications)

#### **4-24. Publications**

Printed material published by colleges or universities for internal and external distribution. This series includes directories, manuals, research reports, surveys, and other college or university publications (except annual reports).

##### **Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent (by Department)

#### **4-25. Reading File**

Duplications of outgoing letters, arranged chronologically and maintained for periodic review by staff members. Information reflects routine and non-routine issues, and serves as reference for staff.

##### **Retention**

- Until no longer needed for reference (by Department)

#### **4-26. Records Disposition Files**

Files related to an institution's records management program. Included are records retention schedules, guidelines, information concerning records inventory and scheduling, records transfers, microfilm applications, disposal notices, and other related data.

##### **Retention**

- Permanent (by department)

#### **4-27. Speeches**

Drafts and final copies of speeches given by Administrative staff below the college or university president, provost, and vice presidents' level. Speeches concern program procedure, work activities, and related topics.

##### **Retention**

- Until no longer needed for reference (Most SAC level)

#### **4-28. Surveys/Maps**

Developed by an institution to carry out its mission and function. Information concerns roads, boundaries, property lines, corners, monuments, road marker placements, structures, sites, and other related data.

##### **Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent (Bus&Fin, Facilities)

#### **4-29. Work Order Request File**

Document copies of work order requests for all program classifications of the institution. Information on the work order requests include date, site of work, service or modifications requested, estimated cost, budget code to be charged, person coordinating the work, date needed, signature of requestor, signatures of approval, date request received by plant support, estimated completion date, and date completed.

##### **Retention**

- 3 years (Facilities)

#### **4-30. Work Reports**

Reports of work activities performed by personnel carrying out regular or special duties. These documents reflect dates, person responsible for reports, and a running account of daily activities performed.

**Retention**

- 2 years or until summarized or superseded (by Department)

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**PERSONNEL (HUMAN RESOURCES)**

**5-1. Employer Status Reports (Unemployment Compensation)**

Reports from an individual college or university to the Department of Labor and Employment to determine the liability or non-liability of a college or university for payment of unemployment compensation. Information includes the employer status report, notice of liability sent to the college or university, notice of contribution for the next calendar year, and related memoranda and correspondence concerning changes in college or university unemployment compensation accounts and liability.

**Retention**

- 6 years

**5-2. Employment Applications (Not Hired)**

Completed employment applications and personal resumes of applicants who were not hired by a college or university.

**Retention**

- 3 years from the date of rejection

**5-3. Equal Employment Opportunity Report**

Any Equal Employment Opportunity reports prepared for purposes of reporting the race, gender job classification and/or compensation of all college or university Personnel.

**Retention**

- 2 years from the date of the personnel action involved or the making of the record provided information has been forwarded to the University's Human Resources Department

**5-4. Faculty Appointment Letters (Full and Part Time)**

Letters of appointment sent to full or part-time faculty members.

**Retention**

- 6 years after appointment has ended or until no longer needed for reference.

**5-5. Job Announcements (Vacancies)**

Announcement concerning job openings in institutions. Information includes title of position, salary or grade range, description of job duties, closing date, and to whom applications should be directed.

**Retention**

- 2 years after position is filled or announcement is superseded or updated

**5-6. Leave Slips**

Forms completed by college or university employees to request time off from work.

**Retention**

- 2 years

### **5-7. Log and Summary of Occupational Injuries and Illnesses**

Record of work-related injuries, illnesses, and deaths reported to the University's Human Resources Office. The record copy of this series is retained in the University's Human Resources Office.

#### **Retention**

- 5 years following the end of the calendar year to which they relate

### **5-8. Personnel Files (Active and Terminated)**

Personnel files of current and former employees of the college or university. Information includes employment applications, resumes, performance appraisals, leave records, employee profile, Controller payroll change forms, position descriptions, insurance information, dual employment information, resignation and termination records correspondence, and other related information.

#### **Retention**

- 10 years after termination of employment

### **5-9. Personnel Policies and Procedures**

Policies and procedures issued by the college or university or the University's Human Resources Department. Information includes employment application policy, classification and compensation plan, explanation of performance appraisal system, reduction in force procedures, grievance policies, equal employment opportunity guidelines, employee handbook, other procedures issued by a college or university and/or the University's Human Resources Department.

#### **Retention**

- Office: Until no longer needed for reference
- College or University Archives: Permanent

### **5-10. Time and Attendance Records**

Records concerning time worked by non-exempt employees. Information includes employee's name, section or organization unit, employee number, pay period, total time worked, and employee's signature.

#### **Retention**

- 7 years

### **5-11. Vacancies File**

Documents position vacancies in a college or university. Information includes college or university's name, grade, classification title, salary range, hours worked per week, and pay rate of position.

#### **Retention**

- Until superseded or updated

### **5-12. Benefit Plan Contracts**

Any contracts relating to the administration of employee benefits.

#### **Retention**

- A minimum of 25 years after the contract has ended.

### **5-13. I-9s**

Documentation required to provide eligibility to work in the United States

#### **Retention**

- A minimum of 3 years from the date employment ends.

### **5-14. Long Term Disability Records**

Any records relating to the application of long term disability benefits.

**Retention**

- Permanent

**5-15. Summary Plan Descriptions**

The Summary documents of employee benefit plans maintained by Human Resources for purposes of employee communication and plan documentation.

**Retention**

- 6 years after SPD is superseded by amendment or replacement document

**5-16. Plan Documents**

Formal plan documents drafted and approved by the Drake University Board of Trustees.

**Retention**

- Permanent

**5-17. Bargaining Negotiation Notes**

Notes taken during the negotiation of collective bargaining agreements by HR personnel.

**Retention**

- Permanent

**5-18. Informal Employee Complaints**

Notes or documents relating to informal employee complaints pursuant to the University Policy on Community, Diversity, Freedom of Expression and Harassment Policy.

**Retention**

- 3 years from the date of complaint

**5-19. Formal Employee Complaints and Findings**

Notes or documents relating to formal employee complaints pursuant to the University Policy on Community, Diversity, Freedom of Expression and Harassment.

**Retention**

- 3 years after the employee's separation from Drake, unless the records also relate to a current Drake employee or are the subject of a pending administrative or court case.

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**ACCOUNTING DEPARTMENT**

**6.0. Accounts Receivable Ledgers & Trial Balances**

Accounts receivable (TZRAGES) 3 reports run daily for DUCSOM, Rent and Misc.

**Retention**

- Office: Stored Electronically: Accounting Shared Folder=6-7 years
- College or University Archives:

**6.1. Back up Documents**

Documents submitted by departments including supporting documents, including, cash receipts, deposits, and purchase orders.

**Retention**

- Office: Stored Electronically: Banner & Xtender Databases=1 year
- College or University Archives:

**6.2. Bank Reconciliations**

Bank Statements from bank and reconciliation spreadsheets generated by staff accountant.

## **Retention**

- Office: 1 year
- College or University Archives:

### **6.3. Bank Statements (after reconciliation with audit)**

Weekly statements sent from bank and electronic downloads of cancelled checks.

#### **Retention**

- Office: Stored Accounting Office and
- Electronically: Accounting Shared Folder=1 year
- College or University Archives:

### **6.4. Cancelled Checks**

Physical check returned from bank.

#### **Retention**

- Office: Stored Accounting office and Resource Center=6-7 years
- College or University Archives:

### **6.5. General Ledgers and End of Year Trial Balances**

General ledgers and end of the year trial balance reports.

#### **Retention**

- Office: Electronically: Banner Database=Permanent
- College or University Archives: Permanent

### **6.6. Invoices: travel Expenses, Direct Pays and Vendors (Customers)**

Forms to pay from submitted by the departments including any supporting documents.

#### **Retention**

- Office: Stored: Accounting Department, Resource Center,
- Scanned Electronically to Xtender Database=6-7 years
- College or University Archives:

### **6.7. Journals**

Journal entries and supporting documents.

#### **Retention**

- Office: Stored Electronically: Banner & Xtender Databases=6-7 years
- College or University Archives:

### **6.8. Procurement Card Database & Reports**

Monthly download of detailed transactions and statements of credit card use.

#### **Retention**

- Office: Stored: Wells Fargo Database and
- Electronically: Accounting Shared Folder=6 years
- College or University Archives:

### **6.9. Fixed Assets: Purchase and Disposal of High Value Assets**

Detail of Disposals and Assets via invoices and journal documentation.

#### **Retention**

- Office: Stored Electronically: Banner Database=6-7 years
- College or University Archives:

### **6.10. W-9/W-8: Sales Tax Exemption Slips from Customers**

Tax Status Form: taxpayer identification number and certificate request form.

**Retention**

- Office: Stored Accounting Department=15 years
- College or University Archives:

**6.11. Subsidiary Ledgers to the General Ledgers & Trial Balances**

Subsidiary Ledgers to the General Ledgers these reports are used together to make sure accounts are in balance. Trial balances are used at year end to keep current fiscal year in balance while starting new fiscal year.

**Retention**

- Office: Stored Electronically: Banner Database and Accounting Shared Folder=6-7 years
- College or University Archives:

**6.12. Control Reports**

Control reports are used on a daily bases to make sure accounts are in balance.

**Retention**

- Office: Stored Electronically: Accounting Shared Folder=6-7 years
- College or University Archives:

**6.13. Check Registers**

report is run and printed after checks have been printed.

**Retention**

- Office: Stored Accounting Department and
- Electronically: Accounting Shared Folder=6-7 years
- College or University Archives:

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**PAYROLL**

**7-1. Computer Output Reports from Payroll Financial Data Bases (Non-Permanent)**

Financial reports (regardless of medium) generated from a computer data base for the disbursement of resources of the institution. The reports may be generated daily, weekly, monthly, annually, or at year end closeout. They can be a regular report or a query to the data base.

**Retention**

- Until updated, superseded, or no longer needed for reference

**7-2. Computer Output Reports from Payroll Financial Data Base (Permanent)**

Financial reports (regardless of medium) generated from a computer data base for the disbursement of resources of the institution. These are cumulative fiscal year end closeout reports summarizing the financial activities of the institution by providing final year-to-date summary accounting data and a permanent audit trail for all disbursement transactions affecting any and all funds and accounts.

**Retention**

- Office: 7 years
- College or University Archives: Permanent

### **7-3. Electronic Funds Transfer Authorizations**

Authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit. Information includes employee name, name of financial institution, copy of deposit slip, and other related information.

#### **Retention**

- 7 years after termination, cancellation, or change of authorization

### **7-4. Employer Contribution Report**

Information includes name and address of the employer, number of persons employed during the quarter, how remittance is paid, number of places of business in Iowa covered by the report and signature, title, date of individual filling out the report, and other documents concerning taxable and non-taxable wages of employees.

#### **Retention:**

- 7 years

### **7-5. Health, Dental, and Optional Life Insurance Reports**

Generated to reconcile the monthly health, dental, and optional life insurance bills of the agency. Information includes agency name, address, group identification number, billing period, subscriber count, premium amount (employer/employee shares), source of funds, premium due and other related information.

#### **Retention**

- 7 years after termination of employment or cancellation of the authorization

### **7-6. Payroll Adjustment Forms**

Forms to deduct money from employee's wages. Information includes name, social security number, amount, description of deduction, payroll period beginning date and others elated information.

#### **Retention**

- 7 years after termination of employment or cancellation of the authorization

### **7-7. TIAA-CREF File**

Used to record the deductions for retirement plan. Information includes employee name, social security number, agency number, agency name, and amount of deduction.

#### **Retention**

- 7 years

### **7-8. Table Report (Payroll)**

Define the meaning of code numbers and fund groups used in transactions processed through the institutions automated financial accounting system. The specification of the reports of each institution may vary.

#### **Retention**

- Office: 7 years
- College or University Archives: Permanent

### **7-9. Workers' Compensation Insurance Files**

Used to document the payment of workers' compensation insurance premiums. Information includes an interdepartmental transfer for payment of premiums, and a form to the Iowa Compensation Insurance Authority or the contract Worker's Compensation Fund reflecting the total due and payment due date with attached memos.

### **Retention**

- 7 years

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## **INTERNAL and EXTERNAL AUDITING**

### **8-1. Internal Audit Report**

Documents the final financial, operational, and compliance audit finding for the institution or its departments. Information includes background information, subject of the audit, findings, and recommendations.

#### **Retention**

- Permanent

### **8-2. Working Papers**

Used to conduct periodic financial, operational, and compliance audits of all offices. Information includes pre-audit research and planning, analysis sheet, suggestion sheets, entrance/exit conference, computer software applications, findings, recommendations, inventory of property, organizational control review, and internal control questionnaire.

#### **Retention**

- 5 years and until no longer needed for reference

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## **STUDENT RECORDS & ACADEMIC INFO. (REGISTRAR)**

### **9-1. Official Transcripts (Graduate and Undergraduate)**

Used to record the official internal academic transcript of students attending the University. These records include such information as name, identification number, major, courses taken, grades received, dates of attendance and type of degree rewarded (if any).

#### **Retention**

- Permanent

### **9-2. Grade Sheet/Reports**

Used to record grades for each college or university student enrolled in a specific course at the end of each semester. The grade sheet/report reflects the following information: student number, student name, course title, semester, department, course number, section, instructor, grade and signature of the instructor. As of Summer 2003 no paper records are being generated – all kept electronically.

#### **Retention**

- Permanent

### **9-3. Change of Grade Forms**

Used by faculty/instructors to change an already submitted grade.

#### **Retention**

- Permanent

### **9-4. Drop/Add Slips**

Forms used to drop or add a student to a class.

#### **Retention**

- 5 years

### **9-5. Commencement Programs and Final Graduation Lists**

A booklet that contains the commencement activities and lists all students that can graduate.

#### **Retention**

- Permanent

### **9-6. Class Schedule**

A document that contains the student class schedule indicating location, time, instructors, etc.

#### **Retention**

- Permanent

### **9-7. Class Schedule Amendments**

#### **Retention**

- Since March 2003 all done electronically

### **9-8. College Catalog**

Document that contains courses offered by the institution and other student pertinent information.

#### **Retention**

- Permanent

### **9-9. CLEP/AP Scores**

Original records of individual student exam scores in College Level Examination Program (CLEP),

Advanced Placement (AP), International Baccalaureate (IB), A-levels (foreign exams)

#### **Retention**

- 5 years after last date of attendance

### **9-10. Academic Files**

Files which document the fulfillment of requirements necessary to graduate from one of Drake

University's Colleges or Schools. (Held in individual college offices, not Student Records) Includes transfer credit evaluations.

#### **Retention**

- 5 years after last date of attendance

### **9-11. Graduation Application and Clearance**

Used by students to designate intention to graduate. Includes degree program, major, graduation expected term.

#### **Retention**

- 5 years after last date of attendance

### **9-12. Working copy commencement folders**

#### **Retention**

- 5 years

### **9-13. Transcript Requests**

Requests for a transcript of student's permanent academic records and the record of payment received for the copy.

#### **Retention**

- 1 month

#### **9-14. Withdrawal Authorization**

##### **Retention**

- 1 year

#### **9-15. Correspondence relevant to graduation and registration**

##### **Retention**

- 5 years

#### **9-16. Enrollment Reports (Final Official Reports)**

##### **Retention**

- Permanent

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### **INFORMATION TECHNOLOGY, OFFICE OF**

#### **10-1. Information Technology Plans**

Information Technology will retain an inventory list of computer equipment located in Dial, and an inventory list of telephone equipment located in Jewett as well as a record for annual new equipment costs. The record copy of this series is maintained through the Chief Information Officer of the Office of Information Technology.

##### **Retention**

- 3 years (Information Technology)

#### **10-2. Telephone Bills**

Provide a monthly statement of charges for telephone calls billed to a college or university. Includes information, such as, group, division, college, department, building, room, general ledger account, date, time, DAC, dialed number, destination, station, duration, charges, etc. This information is retained in the E-print reports.

##### **Retention**

- 3 years (Telecommunications)

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### **ATHLETIC DEPARTMENT**

#### **11-1. Concession/Lease Agreements**

Document sale of concessions at sports events, use of college or university trademarks for the sale of memorabilia, and rentals for box seating. Information includes athletic concession agreements, revocable nonexclusive licenses to use certain indicia of the university, and stadium seating lease agreement.

##### **Retention**

- 6 years after termination of lease agreement

#### **11-2. Equipment Files**

Document the use of sportswear and equipment by student athletes. Information includes equipment room daily activity report, equipment rental charts, statement of lost equipment, and other related information.

##### **Retention**

- 4 years

### **11-3. Recruiting Files**

Document the recruitment and eligibility of student athletes for participation in the athletics program as governed by applicable guidelines. Information includes official visit of prospective athlete, student-athletes' affirmation of eligibility, national letter of intent, and related forms.

#### **Retention**

- 4 years

### **11-4. Scrapbooks**

Record publicized athletic events and sports activities at the institution. Information includes clipping from local newspapers and other media concerning athletic events at the college or university.

#### **Retention**

- Office: 6 years
- College or University Archives: Permanent

### **11-5. Sports Information Files**

Contain information distributed to the news media concerning sports events at the institution. Information includes box scores, play-by-plays, and team statistics.

#### **Retention**

- 1 year or until no longer needed for reference

### **11-6. Ticket Applications**

Used to process requests for season and individual game tickets to athletic events. Information includes the applicant's name, address, phone number, and number of tickets requested.

#### **Retention**

- 3 years

### **11-7. Ticket Records**

Document the control of ticket operations and distribution of tickets for athletic events. Information includes sale of tickets, allocation of tickets, allocations for "away" games, stadium attendance, and related records.

#### **Retention**

- 3 years

### **11-8. Training Room Medical Records (Active and Inactive)**

Created by physicians and training room staff to monitor student athletes medical histories during their association with the college or university athletic program. Information includes medical histories, injury complaints, drug testing, and other related data.

#### **Retention**

- Active files: Until student graduate or withdraws from the college or university
- Inactive file: 7 years from date of last contact

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## **INSTITUTIONAL DEVELOPMENT AND RESEARCH**

### **12-1. Appropriation Request File**

Documents information compiled by a college or university's staff to provide

the basis for the university's budget request. Information concerning budget appropriations includes utility expenditure summaries, enrollment reports, research and public service program assessments, financial data for staff and faculty salaries, library and facility needs, and other information which serves as a basis for the University's request.

**Retention**

- 3 years

**12-2. Foundation Files**

Document the administration of college or university foundations files may include correspondence, reports, proposals, accounting and financial information, surveys, justifications, and other related information.

**Retention**

- Office: 5 years
- College or University Archives: Permanent

**12-3. Gift Files**

Document the funding of financial gifts to the university and the administration of these funds. Included in this series are financial records, correspondence, memoranda, reports, special stipulations or provisions, and other related information.

**Retention**

- Office: 5 years
- College or University Archives: Permanent

**12-4. Project Grant Awards and Contracts**

Document grants and contracts awarded to faculty, staff and graduate assistants for sponsored projects. Information includes name of project, award notification, contract number, and other related information.

**Retention**

- 6 years after expiration of grant funding period or termination of contract and until no longer needed for reference

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**LIBRARY SERVICES**

**13-1. Book/Publication Disposal Record**

Used to record the sale, transfer, or disposal of outdated, obsolete materials and books. Information includes title, call number, author, date, how disposed of.

**Retention**

- 3 years

**13-2. Interlibrary Loan Request Records (Processed and Unprocessed)**

Used to record successfully processed interlibrary loan requests and loan requests the staff was unable to process. Information includes patron's name, identification, requested information, and whether the materials or books are available. This series also documents interlibrary loan transactions for patrons of other libraries that use the institution's library system.

**Retention**

- Records for processed requests: 3 years
- Records for unprocessed requests: 1 year

### **13-3. Library Fines and Fees**

Documents money received for library fines, library computer information searches, lost books, and interlibrary loan request. Information includes amount of money received, what the money was received for, date, and signature of person receiving fine.

#### **Retention**

- 3 years

### **13-4. Manual and On-Line Library Card Catalog (Books, Periodicals, and Other Publications)**

Used as a finding aid to the library holding. Information includes name of author, title, subject, publisher, publication date, and call number.

#### **Retention**

- Until updated or no longer needed for reference

### **13-5. Newspaper and Manuscript Collection**

A collection of documents concerning the state or communities' heritage or culture. Included are Bible records, wills, diaries, letters, photographs, maps newspapers and other related items.

#### **Retention**

- Permanent

### **13-6. Photo Duplication Request Forms**

Created to document photocopy requests. Forms reflect information concerning copyright restrictions, author, book title, manuscript box and folder number, items to be copies, duplication costs, and patron's signature.

#### **Retention**

- 3 years

### **13-7. Request Cards**

Document patrons' requests for information on holdings. Information include call number, collection number, title, location, number of items used, researcher's name, and date.

#### **Retention**

- 3 years

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## **STUDENT HEALTH**

### **14-1. Student Medical Records**

Created by physicians and/or nursing staff to monitor student medical histories during their enrollment with the college or university. Information includes medical histories, injury reports, testing results and other related data.

#### **Retention**

- 7 years from the date of enrollment

### **14-2. Physician Appointment Schedules/Books**

Log book of appointments requested by students to see college or university medical staff. Record may show student's name, ID number, date, time of appointment and reason for appointment.

#### **Retention**

- 1 year

### **14-3. Student Health Services Telephone Log**

Record of calls received from students requesting medical services. Information may indicate date of call, time, identity of person receiving call, nature of request and comments, if applicable.

#### **Retention**

- 1 year

### **14-4. Student Health Census**

Record identifying the current enrolled students by name and ID number.

#### **Retention**

- Retain only the current term

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## **CAMPUS SECURITY**

### **15-1. Campus Security Department**

Criminal and investigative cases generated in accordance with the Student Right To Know and Campus Security Act of 1990, (Federal Law), as amended in 1998. Other case reports of institutional record, i.e., campus injury reports, accident reports used in civil matters, internal investigations and/or background checks.

#### **Retention**

- Federally required statistical crime data: 3 years
- Criminal and investigative case reports: Permanent
- Record retention is at Security Office

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## **INVESTMENTS AND ENDOWMENT**

### **16-1 General Endowment Files**

Documents for each endowment account include the Memorandum of Agreement along with correspondence from donors and others regarding the fund. The files may also include reports from banks and/or attorneys as well as other pertinent financial data.

#### **Retention**

- Office: Permanent

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### **16.2. Investment Files**

Monthly custodian statements, journal vouchers and reconciliation reports are maintained for each endowment investment. Contracts with money managers and asset custodians are also maintained. Brokerage statements are also on file. Life insurance files contain the original policy along with annual policy reports and consultant reports.

#### **Retention**

- Office: 3 Years
- Off Site: Permanent

### **16.3. Charitable Trust Files**

The files include the original trust documents, correspondence, tax returns, monthly custodian statements and reconciliation reports.

#### **Retention**

- Office: 3 Years
- Off Site: Permanent

#### **16.4. Endowment Reconciliation Files**

The files include monthly reports used to reconcile the endowment to the general ledger as well as to maintain the unitization spreadsheet.

##### **Retention**

- Office: 3 Years
- Off Site: Permanent

#### **16.5. Gift Reconciliation Files**

Monthly reports used to reconcile gifts made to the University to the general ledger are maintained. The files also include daily gift information as well as donor documentation.

##### **Retention**

- Office: 3 Years
- Off Site: Permanent

#### **16.6. Quarterly Consultant Reports**

Reports prepared by our Investment Consultant are maintained along with other pertinent material from them.

##### **Retention**

- Office: 3 Years
- Off Site: Permanent

#### **16.7. Real Estate Rent Files**

Rent records are kept for four years after move out date; at that time they are scanned onto a disk and maintained in the property files.

##### **Retention**

- Office: 4 Years after move out
- Off Site: Permanent (on disk)

#### **16.8. Real Estate Warranty Deeds**

The warranty deeds for each property (these show ownership of the property) are kept in the Kinne vault for as long as Drake owns the property.

##### **Retention**

- Kinne Vault: As long as property is owned by Drake

#### **16.9. Real Estate Abstracts**

All abstracts are kept as long as Drake owns the property in the Kinne vault. The abstract must be surrendered to the new owner when the property is sold.

##### **Retention**

- Kinne Vault  
Drake
- As long as property is owned by

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### **PROPERTY AND CASUALTY INSURANCE DOCUMENTS**

#### **17-1. All Lines of Property and Casualty-Policy Files and Summary Policy Descriptions**

All University property and casualty and workers compensation lines of insurance policies and endorsements.

##### **Retention**

- 7 years

### **17-2. Certificate of Insurance**

Certificates of Insurance that Drake provides to others and that other institutions provide to Drake. (copies or originals)

#### **Retention**

- 1 year (some electronic beginning 2010)

### **17-3. Renewal Documents**

Information compiled for insurance renewal, marketing research, and assessments.

#### **Retention**

- 2 years readily accessible +
- 10 years after termination of policy

### **17-4. Claim Documents**

Incident claim reports and all backup information can be retained electronically or hard copy.

#### **Retention**

- 2 years readily accessible +
- 10 years after termination of policy

### **17.5. Insurance Related Emails**

Emails that pertain to insurance process, decisions, responses, etc. should be retained electronically or hard copy.

#### **Retention**

- 2 years readily accessible +
- 10 years after termination of policy

### **17.6. Appraisals**

Appraisals for property, art, etc. are part of insurance valuation.

#### **Retention**

- Permanently until replaced or property is sold.

### **17.7. Trip or Event Release Forms**

Student trip or event release forms are maintained in Business and Finance or with the event coordinator, e.g., general release form, personal vehicle release form, Forms can be maintained electronically or hard copy.

#### **Retention**

- 2 years readily accessible

### **17.8. Insurance Forms**

Various insurance forms, e.g., trip, motor vehicle, proof of insurance, van verification, vehicle and van safety, etc. Forms can be maintained electronically or hard copy.

#### **Retention**

- 2 years readily accessible

### **17.9. Trip or Event Release Forms**

Student trip or event release forms are maintained in Business and Finance or with the event coordinator. Such events might include: mock trial trips, various field trips, Relays, concerts, carnivals, camps, etc. Forms can be maintained electronically or hard copy.

#### **Retention**

- 2 years readily accessible

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## **GENERAL BUSINESS AND FINANCE**

### **18.1. Contracts**

Various University contracts for services, leases, long-and-short-term commitments, etc. Hard copy for contracts that are active. Hard copy or electronic copies for terminated files.

#### **Retention**

- Permanently until replaced or contract has terminated.
- Keep terminated files 2 years past termination.

### **18.2. Bond Documents**

University bond and debt compliance documents.

#### **Retention**

- Permanently

### **18.3. Building Historical Documents**

University building documents that indicate the history of a particular building.

#### **Retention**

- Permanently until razed or property has been sold.
- Keep razed and sold property files: 2 years past termination.

### **18.4. Building Project Documents**

University building and renovation project files including bid proposals.

#### **Retention**

- Permanently until razed or property has been sold.
- Keep razed and sold property files: 2 years past termination.

### **18.5. Legal Documents**

Various university legal documents, potential and real law suits and preliminary paperwork, e.g., Articles of Incorporation, Bylaws, bank signature cards, tax issues, etc.

#### **Retention**

- Permanently in electronic or hard copy form.

### **18.6. Board of Trustees Files**

Various university Board of Trustees committee meeting materials and official minutes.

#### **Retention**

- Permanently in electronic or hard copy form.

### **18.7. Financial Statements**

Formal annual financial statements.

#### **Retention**

- Permanently in electronic or hard copy form.

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## **OFFICE OF STUDENT FINANCIAL PLANNING**

### **19.1. General Title IV**

Records relating to Drake University's participation in the Title IV financial aid programs including its application for Title IV funds and documents supporting the institution's eligibility to participate as well as records that document Drake's compliance with all applicable requirements for administering, disbursing and delivering Title IV funds. Records may exist in electronic and/or hard copy

format. References: Federal Register 668.24 (a) (1), (2), (3) (4), (5), (6) and 668.24 (c) (1) (vi)

### **Retention**

- Federal requirements dictate records must be retained for “three years”. Since the three-year retention requirement is marked by the filing of the FISAP (October 1<sup>st</sup> of each year for the prior awarding year), this requirement translates into four academic years prior to the current year.

### **LOCATIONS**

- Office of Student Financial Planning, Carnegie Hall, Main level Dial Center (electronic entry point via the electronic data exchange with the Department of Education). Drake University Shared Information System (DUSIS), Drake’s administrative computing system Drake University’s SIS (legacy administrative computing system)

## **19.2. Student Financial and Recipient**

### **1. Title IV recipients:**

For each student Title IV recipient, the Institutional Student Information Record used to determine eligibility for Title IV funds, as well as documentation relating to each student’s or parent’s receipt of Title IV funds including but not limited to the grant, loan, and/or FWS award, its payment period, its loan period if appropriate, and the calculations used to determine the amount of grant, loan, and/or work award. In addition, the amount, date, and basis for the institution’s calculation of any refunds or overpayments to or on behalf of the student and payment of any refund or overpayment to the Title IV program fund, a lender, or the Department of Education. Records may exist in electronic and/or hard copy format. References: Federal Register 668.24 (c) (1) (i) (ii) (iii) (iv)

### **2. All Recipients**

For each financial aid recipient, the record of transactions relating to requests for financial aid, determination of eligibility, financial aid disbursement, and relevant correspondence. Records may exist in electronic and/or hard copy format.

### **Retention**

- Federal requirements dictate records must be retained for “three years” (since the three year retention requirement is marked by the filing of the FISAP-October 1<sup>st</sup> of each year for the prior awarding year-this requirement translates into four academic years prior to the current year), and Drake maintains student records using the last term of enrollment as demarcation for the “start” of the retention requirement. Example: A PharmD student entering the university in the 2003-04 academic year, attending full-time and completing his/her program in six years (2008-09 academic year), has a retention requirement that extends until the close of the 2012-13 academic year (four years following the last year of attendance).

- There are additional exceptions to the general record retention periods for repayment records for Perkins Loans and records related to a FFEL borrowers. Perkins Loan repayment records, including cancellation and deferment records, must be kept for three years from the date that the loan was assigned to the Department, cancelled, or repaid. Perkins

original promissory notes and original repayment schedules must be kept until the loan is satisfied or needed to enforce the obligation. Records relating to a borrower's eligibility and participation in the FFEL program must be kept for three years from the last day of the award year in which the student last attended the school.

## **LOCATIONS**

- Office of Student Financial Planning, Carnegie Hall, Main level Dial Center (electronic entry point via the electronic data exchange with the Department of Education).  
Drake University Shared Information System (DUSIS), Drake's administrative computing system  
Drake University's SIS (legacy administrative computing system)  
Office of Student Accounts/Loans, 102 and 115 Old Main  
Sal System (ECSI billing service)

### **19.3. General Financial Aid**

The retention of information includes Financial Aid Policies and Procedures, information on the development and administration of institutional scholarships including restricted and endowed funds and awards, and accompanying memoranda relating to the general administration of the financial aid programs at Drake University. Records may exist in electronic and/or hard copy format.

#### **Retention**

- Federal requirements dictate records must be retained for "three years" (since the three year retention requirement is marked by the filing of the FISAP-October 1<sup>st</sup> of each year for the prior awarding year-this requirement translates into four academic years prior to the current year). The four years represents the minimum retention requirement.
  
- For program administration, the guiding retention guideline is until no longer needed for reference.

## **LOCATION**

- Office of Student Financial Planning, Carnegie Hall, Main level

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## **OFFICE OF UNDERGRADUATE & GRADUATE ADMISSION**

### **20.1. Application for Admission**

Individual student application for admission files, submitted electronically and/or by hard copy, to an undergraduate or graduate degree program and all required supporting materials. Application files for enrolled students are distributed to appropriate colleges prior to orientation and registration.

#### **Retention**

- Incomplete files, and files for denied, cancelled, and withdrawn students: 1 year

### **20.2. Personnel**

Personnel files for current and former employees of the Office of Admission. Information includes employment applications, resumes, performance appraisals, leave records, payroll

change forms, position descriptions, resignation and termination records, correspondence, and other related information.

**Retention**

- Former employee files: 2 years

**20.3. Budget Records**

Annual budget planning documents, monthly budget reports, copies of expense documents including purchase orders, college fair registrations, invoices, travel expense vouchers, and purchase card documentation submitted to accounting for payment.

**Retention**

- Budget files: 3 years

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**COLLEGES AND SCHOOLS**

**COLLEGE OF ARTS AND SCIENCES**

**21.1. Arts and Sciences Dean's Office**

Hard copy files are maintained of all business conducted by the college including Arts and Sciences Faculty Cabinet, Council, Curriculum, General Faculty meetings, elections for Arts and Sciences governance positions on cabinet, council, etc; as well as official documents for college business such as memorandums of agreement for military science and Iowa State University, Friends of Drake Arts, the National Advisory Board, Iowa Lakeside Laboratory; Arts and Sciences Honors Convocation programs and award sheets, faculty awards and professorships, faculty grants, and other such business of the college.

**Retention**

- Hard copy files are kept for as long as needed, some for minimum of 5 years and most records are kept permanently.

**21.2. Personnel**

Faculty and staff files are retained in the Department Chairs' office. These files have personal information such as vitae, evaluations, exhibition records, grants' applications, etc.

**Retention**

- Permanent

**21.3. Administrative**

Documents, decisions and interactions with key officials of the institution. Information in the form of memoranda, policy statements, and reports concerns budget material, department activities, faculty and student relations, tenure and salary issues, grant awards, research programs, foundation endowments, fiscal accountability, personnel matters, academic requirements, student issues, and other related topics.

**Retention**

- Office: 3 years
- College Archives: Permanent

**21.4. Resource**

Consists of manuals, guidelines required for long-term reference in the administration of the institution. Information includes academic issues, copies of personnel policies, fiscal procedures, institution organizational matters, and other related subjects.

**Retention**

- Until superseded, or no longer needed for reference.

### **21.5. Telephone Bills**

Provide a monthly statement of charges for telephone calls billed to a department.

Information

includes telephone number charged with call, account number, type of call, date of call, time

number of minutes, destination of telephone call, and charge.

#### **Retention**

- 3 years

### **21.6. Grant Files (Active and Inactive)**

Files contain some or all the following documents: statement of budget and expenditures, notices of grants awarded, financial status reports, authorization for transfer of grant funds, draft copies of detailed budgets for programs, and other related information.

#### **Retention**

- Until no longer needed for reference.

### **21.7. Employment Applications (Not Hired)**

Employment applications and personal resumes of applicants who were not hired by the college. Information includes applicant's name, address, position applied for, educational background, work experience, and other related information.

#### **Retention**

- 7 years

### **21.8. Internal Management Policy and Procedure**

Policies and manuals developed to govern internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

#### **Retention**

- Office: Until no longer needed for reference.

### **21.9. Litigation Case**

Document judicial proceedings, which involve the college or university. Files include some or all of the following documents: affidavits, summons and complaints, responses, legal briefs, transcripts of proceedings, court decisions, and related information.

#### **Retention**

- 6 years after the case is closed.

### **21.10. Faculty Contracts (Full and Part-time)**

Document contracts between faculty members and the college. Contracts reflect name of instructor or professor; Social Security number; position; subject taught; employment dates;

total number of hours; hourly rates; total contract amount and budget code; date;

signatures

of the instructor or professor, division chairman and academic dean.

#### **Retention**

- 6 years after termination of contract and until no longer needed for reference.

### **21.11. Job Announcements (Vacancies)**

Announcement concerning job openings in college. Information includes title of position, salary or grade range (merit system classification), description of job duties, closing date, and to whom applications should be directed.

### **Retention**

- 2 years after position is filled or announcement is superseded or updated.

### **21.12. Time and Attendance Records**

Records concerning time worked by non-exempt employees in the during a pay period. Information includes employee's name, pay period, total time worked, and employee's signature.

### **Retention**

- 5 years

### **21.13. Student Records**

Hard copy files on kept on all current students and some former students.

### **Retention**

- Hard copy files are kept on all current students.
- Hard copy files on all former degree-seeking students are kept for 5 years.
- Hard copy files of former degree-seeking students with over 90 credits at Drake are kept for 10 or more years.
- Hard copy files of all bachelors' level undergraduate degree students are kept for 5 years.
- Hard copy files on all masters' degree level graduate students are kept permanently.

### **21.14. Academic Integrity**

Hard copy files are kept on all academic integrity cases filed within the college.

### **Retention**

- Permanent hard copy

### **21.15. Fine Arts Facilities Records**

Records are kept on all contracts, correspondence, bills, room schedules, and building work orders.

### **Retention**

- Records on contracts, correspondence and bills are kept for 4 years.
- Room schedules are kept for 1 year.
- Records of work orders are kept for 2 years.

### **21.16. Student Workers**

### **Retention**

- Hard copy files on student workers are kept for 4 years after the student leaves the office.

## Arts and Sciences Department Codes (used for the rest of this section.)

- ✚ ADG=ART DESIGN GALLERY
- ✚ M- = MUSIC
- ✚ T=THEATER
- ✚ FA=FINE ARTS
- ✚ P=PHYSICS
- ✚ CS=CULTURE AND SOCIETY
- ✚ E=ENGLISH
- ✚ MA=MATH
- ✚ H=HONORS
- ✚ D=DULAP
- ✚ HI=HISTORY
- ✚ PI=POLITICS AND INTERNATIONAL RELATIONS
- ✚ B=BIOLOGY

### 21.17. Student Advisee Folders and Assessments

The Art and Design majors primary advising records by the Arts and Sciences administrative staff are housed in the Art and Design office upon graduation. Includes application for graduation, honorary academic letters from the Dean, in addition to the documents tracking student's academic record (grades, drop/adds, internships, etc).

#### Retention

- Degree Awarded files are kept for 7 years.
- No degree awarded—files are kept for 12 years.

\*\*Individual faculty's advising folders are retained by individual faculty members. The length of time these files are kept are at the faculty member's discretion.

#### Departmental files:

- ADG=Folders of students to keep up with the classes they take or need to take while here at Drake; grade sheets, letters, etc.
- We also have assessment folders on these students with test papers, research papers, etc.
- Advisors keep folders for their students in their offices.

#### Retention

- Most departments remove student folders upon graduation.(ADG, P, CS, E, PSY, D)
- Some departments keep files after student graduation:
  - 2 years after graduation to permanently. (T, FA, MA, B)

### 21.18. Scholarship/Recipient Information

ADG=Applications and office records are kept in storage.

#### Retention

- 5 – 6 years.(ADG)

M & T=Folders containing information about scholarship criteria and their recipients are kept in the Music Office. Letters from students written to renew their scholarships, as well as correspondence with incoming students is kept.

#### Retention

- Records on individual students are kept for a period of five years, and then destroyed.
- Scholarship criteria are kept until the award is no longer offered.(M, T)

### 21.19. Invoices/Expenses/Accounting Records

M=These folders contain invoices for expenses of the department, including credit

card reports and receipts, and student time cards.

**Retention**

- Information is kept for one year in the office of the Administrative Assistant for the Fine Arts budgets

Department retention periods are not over:

- 5 Years (M, FA, P, MA, H, PSY)  
1 Year= (T)
- Other: Timecards=10 years= P, CS,
- Budget files=8 years=MA

**21.20. Student Timecards/Work Records**

**Retention**

Location of Records: **Office and then archives:**

- Office=1 year, archive=3 years (PSY, PI)
- Office=1 year, archive=5 years (FA)
- Office = 1 year, archive=10 years(MA)

**21.21. Personnel Files**

FA= Faculty and staff files are kept in our offices. These files have personal information such as vitae, transcripts, interview information, letters of recommendation, grants information, etc.

**Retention**

- Permanent. Records of faculty who have left the department or retired are retained. (FA, P, CS, E, MA, H, D, PI, B, PSY)

**21.22. Job/Position Faculty Search Information**

Candidates' files (application, vitae, letters of reference, transcripts, etc) are in the Art and Design storage room.

**Retention**

- 5 years then shredded. \*\*Accompanying lists and office records are kept in the Department office for 10 years. (ADG)
- CS=Computer files and physical applications for faculty searches in the department of

Culture & Society are maintained in the office of the Department Secretary.

**Retention and Location: Dept Office**

- 3 years and then destroyed (CS, E, MA, B)
- 2 years and then destroyed (D, PI, H, PSY)
- Permanent (Appointment Letters) PSY

**21.23. Student Evaluations of Faculty**

These evaluations for each class and each instructor are kept in a locked cabinet in the department office.

**Retention**

- 10 years, and then destroyed. (M, T, H,
- If a faculty member leaves, their evaluations are offered to them, and destroyed if they do not wish to keep them. (M, T PHIL, B )
- Permanent (PSY)

**21.24. Faculty Meeting Minutes**

Records concerning meetings held by department chair, including topics discussed and

decisions made.

**Retention**

- Permanent, in Department (M)
- 2-3 years.(PSY)

**21.25. Administrative Files**

These files are maintained by the department office (Department chair) and include various records. B= faculty meetings; departmental self-assessment information; requests for funds and funds granted; budget expenditures; copies of invoices for purchase of equipment and supplies; equipment and supply vendors; course scheduling information, curricular proposals and changes, student awards and scholarships, advisee lists, student biological organizations (e.g., Beta Beta Beta and Alpha Epsilon Delta); etc.

**Retention**

- These files are retained indefinitely and archived (stored) under confidential conditions.(B)

*PSY=Contains reference material relevant to the administration of the Psychology Dept., including correspondence, memoranda, annual reports, self-studies, policy and procedure statements, curriculum information*

**Retention (PSY)**

- Permanent= Self-studies
- 5 years= Direct Pays & JVs, other materials
- 10 years=Change of Grades, requests, costs,& completion information, work orders
- Permanent= Key Request cards and receipts, Application and progress report; internship documents, request and description independent study

**21.26. Department Awards**

Award winner information on all scholarships and awards are maintained in the Chair's office. Financial information on these awards are maintained in the Admin. Asst's. office.

**Retention**

- Permanent (E, MA, HI, PI)

**21.27. Event Programs**

Exhibition materials/programs.

ADG=exhibition Notebooks are kept by the Gallery Director. Registration materials and accompanying information, show catalogs, etc. are kept in storage.

**Retention**

- 10 plus years.(ADG)
- M=Five copies of programs from each recital, including student recitals, are kept in the Art Suite. Students occasionally request a copy, and we sometimes use them for reference.
- P=One copy of the test and key for future references.
- CS=Award winner information on all Culture & Society Scholarships and awards are maintained in the Chair's office.
- Financial information on these awards are maintained in the Admin. Asst's. office.

**21.28. Degree Fulfillment and Miscellaneous**

PSY=Consists of Master's theses written in partial fulfillment of the requirements of graduate degree from the Psychology Department. The file contains a printed copy of the thesis. Contains forms and correspondence relating to the individual's completion of Master Program in the Psychology Department. Each term, each class; Syllabi

**Retention**

- Permanent (PSY)

**21.29. Accreditation**

ADG=Materials are kept in Department Chair's office.

**Retention**

- Current records go back 15 years.(ADG)

M=This information is kept in the Chair's Office; older information is located in the Music storage room.

**Retention**

- Permanent (M)

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**SCHOOL OF MANAGEMENT & COMMUNICATION**

**22-1. Administrative File/Correspondence (Academic Deans and Department Chairpersons)**

Reflects reference material and letters relevant to the administration of the various academic departments of a college or university. Information includes personnel data, scholarship files, syllabi, general files, and self studies.

**Retention**

- Office: Personnel Data=3 years
- Course evaluations, syllabi, general files=5 years
- Scholarships, self studies=Permanent
- College or University Archives: Permanent as above

**22-2. Meeting Minutes (Academic Deans and Department Chairpersons)**

Record concerning meetings held by academic deans and department chairpersons. Information includes names of attendees, names of persons absent, a summary of topic discussed and decisions made.

**Retention**

- Office: 5 years or Until no longer needed
- College or University Archives:

**22-3. Photographs/Slides/Posters**

Depict activities in the various academic departments of a college or university. included are large framed photographs of individuals and groups, pictures of lecturers, group portraits of professors and students, pictorials of campus scenes, and demonstration slides for instruction.

**Retention**

- Office: Until no longer needed for reference
- College or University Archives:

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**SCHOOL OF EDUCATION PENDING**

23.1

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## **LAW SCHOOL**

### **24.1 Applications Materials for Entering Students Retention**

- Acceptance Letters: Permanent
- Applications: Permanent
- Correspondence: Permanent
- Entrance exams and Placement Scores: Permanent

### **24.2. Application Materials for Accepted but Not Entered Students Retention**

- Acceptance Letters: Permanent
- Applications: Permanent
- Correspondence: Permanent
- Transcripts: Permanent

### **24.3 Individual Student Records Retention**

- Course Drop/Add Slips: Permanent – Online
- Disciplinary Files: Permanent
- Class Schedules: Permanent – Online
- Registration Forms: Permanent – Online
- Academic Records: Permanent – Online
- Application for Graduation: Permanent
- Foreign Student (I-20) Forms – copy of: Permanent
- Date of Graduation and Degree Award: Permanent – Online
- Degree Audit Records: Permanent
- Transfer Credit Evaluations: Permanent
- Personal Data Forms: Permanent
- Alumni Files: Permanent

### **24.4. General Student Records Retention**

- Application Statistics: 10 Years
- Enrollment Statistics: 10 Years
- Grade Statistics: 10 Years
- Racial/ Ethical Statistics: 10 Years
- Degree Statistics: 10 Years

### **24.5. Employment Applications/Listings Retention**

Individual Applicants Who Are Not Hired:

- Resumes: 1 Year
- Letters of Recommendation: 1 Year
- Background Investigation Results: 1 Year

Individual Applicants Who Are Hired:

- Resumes: Permanent

- Letters of Recommendation: Permanent
- Background Investigation Results: Permanent

#### **24.6. Personnel Files**

##### Faculty Files

##### **Retention**

- Correspondence: Permanent
- Faculty Evaluations: 3 Years
- Tenure Records-tenure Committee Recommendation: Permanent
- Tenure Records – Publishings, etc: Return to Faculty upon Tenure

##### Individual Employee Files

##### **Retention**

- Resume: Permanent
- Promotions: Permanent
- Employee Goals & Evaluations: Permanent
- Vacation/Sick Requests: Permanent

#### **24.7. Accounts Payable/Receivable**

##### **Retention**

- Purchase Orders: Permanent - Online
- Invoices/Direct Pays: Permanent - Online
- Cash Receipt Deposits: Permanent - Online

#### **24.8 American Bar Association/Surveys**

##### **Retention**

- ABA Annual Questionnaires: Permanent
- ABA Site Evaluations: Permanent
- US News and World Report: Permanent

#### **24.9. Institutional Publications**

##### **Retention**

- Alumni Newsletters: Permanent
- Student Directories: Permanent
- Faculty Minutes: Permanent

#### **24.10. Legal Clinic**

##### **Retention**

- Case Records: 10 Years/General Information Kept Electronically
- Case Records – Wills & Bankruptcy: Permanent

#### **24.11. CLE Registration**

##### **Retention**

- 3 Years/Permanent Electronic Version

#### **24.12. Litigation Files**

##### **Retention**

- Permanent

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**PHARMACY PENDING**

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**MARKETING AND COMMUNICATIONS PENDING**

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