



# RECORDS RETENTION SCHEDULE

As of July 16, 2015



# RECORD RETENTION SCHEDULE

## INTRODUCTION:

A record series is a group of related records filed and/or used together as a unit and therefore evaluated as a unit for retention and disposition purposes. A records retention schedule is a comprehensive list of record series, indicating for each the length of time the series is to be maintained and its disposition.

Marshall University's *Records Retention Schedule (General Schedule)* accounts for the management and disposition of university record series that are common to many units across campus. In addition, there are units on campus that have record series that are unique to their operations and therefore have a unique records retention schedule in addition to the *General Schedule*. All schedules, general or unique, are developed by the Marshall University Board of Governors University in consultation with campus and unit representatives.

All Marshall University units must familiarize themselves with the *General Schedule*, and have an understanding of what records—paper-based and electronic—they create and/or receive and are required to manage. Units must conduct an inventory of their records and map them to the *General Schedule*.

If a unit identifies record types that do not map to the *General Schedule*, the unit should contact the University Archives to discuss the creation of a unique schedule. All unit unique schedules must be signed by the University Archivist and an appropriate unit representative.

## DISPOSITION:

Part of any effective records management program is the timely disposition of obsolete records and the documentation thereof. The Marshall University General Schedule currently identifies five (5) general disposition options:

- **Destroy – Secured:** If the record series contains restricted information, as defined in Marshall University Board of Governors Record Retention Policy, the records must be destroyed in a secure manner such as incineration, maceration, shredding, pulping, or secure electronic destruction—the most common method being that of shredding.
- **Destroy:** If the record series does not contain restricted information, the records may be destroyed by placing in trash or recycling, or via electronic destruction, as well as in the manner described for secured destruction.
- **Permanent within Department or Unit:** Records series that have a demonstrated legal or administrative need to a particular unit on campus to be maintained permanently.
- **Archival Review:** Record series that have selective content that may be of value to the University Archives in documenting university or regional history, and should be submitted to the University Archives for review prior to destruction.



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- **University Archives:** Records series that have significant value in documenting the university history and must be transferred to the University Archives. If the unit has determined that records should be transferred to the Archives, please follow the procedures detailed at:

Before actually disposing of the records, the unit should complete any associated West Virginia form for Document Management and Destruction [http://www.technology.wv.gov/SiteCollectionDocuments/Records%20Management/RM\\_Exhibits.pdf](http://www.technology.wv.gov/SiteCollectionDocuments/Records%20Management/RM_Exhibits.pdf). Units are strongly encouraged to conduct a records purge at a minimum of an annual basis.

## DEFINITIONS:

- **Administrative Unit:** the department, office, college, division, etc., acting as an entity within the institution with a chair or official-in-charge and possibly having other administrative units reporting to said unit. This term is sometimes used synonymously with the generic term “department.”
- **Business Record:** a financial or operational record that is currently being used, or will be used, by the administrative unit that received or generated the record. Records may remain active for varying numbers of years, depending on the purposes for which they were created. The unit has the responsibility of determining the access required and the security needed for the records. Business records can be electronic records.
- **Confidential Records:** records that contain confidential student, patient, or employee information. Such records should have access limited to “need-to-know” individuals and should be protected from inadvertent access or disclosure.
- **Confidential Information:** any information that is received or created that includes protected health information (PHI) under the Health Insurance Portability and Accountability Act (HIPAA), personal and educational information under the Family Educational Rights and Privacy Act (FERPA), or any personal financial information under the Gramm-Leach-Bliley Act (GLB). This includes, but is not limited to, name, address, social security number, bank account numbers, financial or financial aid information, student numbers, and medical information.
- **E-Mail (electronic mail, Email Instant Messaging etc.):** any communication that requires an electronic device for storage and/or transmission. E-mail often refers to a package of services designed to automate office communications.
- **Electronic Records:** records created or stored by electronic means, including, but not limited to, digital files, images, objects, files on tape, disks, or internal memory.



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- **Electronic Record Management System** (Also known as Record-keeping Systems): any electronic system that manages the storage, location, and retrieval of records, either paper or electronic.
- **Litigation Hold:** A communication issued as the result of current or anticipated litigation, audit, government investigation or other similar matter that suspends the normal process regarding the retention and disposition of University records.
- **Metadata:** structured data about data. It is information about a record and which describes a record. It is descriptive information about an object or resource whether it is physical or electronic. For example, in an e-mail, the “to:”, “from:”, “date:”, “subject:”, etc., would be the metadata. In a word processing document the summary portion of properties would be the metadata. When electronic records are collected or transferred to other media, the appropriate metadata needs to follow the electronic records. Metadata can be manually created or derived automatically using software.
- **Record:** Any information, regardless of physical form or characteristics, made or received in connection with the transaction of University business in accordance with law or regulation. A record may include a document, correspondence, recordings, reports, studies, data maps, drawings, photographs or e-mail, whether in paper, electronic or other form.  
Responsible Department: the department or other administrative unit designated as having the responsibility for retention and timely destruction of the particular types of Institution records in their control.



# RECORD RETENTION SCHEDULE

	Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
<b>Information Technology Records</b>					
	Computer System Maintenance Records	Records document the maintenance of the institution's computer systems and is used to insure compliance with any warranties or service contracts, schedule regular maintenance and diagnose system or component problems, and document system backups. Records may include computer equipment inventories; hardware performance reports; component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records); system backup reports; and backup tape inventories.	<ul style="list-style-type: none"> <li>a. For life of system or component for records related to system or component repair or service, destroy.</li> <li>b. Until superseded or obsolete for records related to regular or vital records backups, destroy</li> </ul>		Destroy at end of retention period.
	Computer System Program Documentation Records	Records document the addition, modification, or removal of software from an institutional, departmental or office computer system. Records usually fall into six categories -- records that document operating systems; records that document the in-house creation and modification of application programs; records that document the structure and form of datasets; records that document the use of commercial software packages; records that document the structure of the system; and records that document system-to-system communication. Records may include system overviews; operations logs; job listings; operator instruction manuals; system development logs; system specifications and changes including narrative and flow chart descriptions; conversion notes; dataset logs; dataset inventories; dataset record layouts; hard copies of tables; data dictionaries; data directories; programming logs; program specifications and changes; record layouts; user views; control program table	For the life of the system, destroy		Destroy at end of retention period.



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	Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
		documentation; program listings; and commercial software manuals.			
	Computer System Security Records	Records document the security of an institution, department, or office computer system. Records may include but are not limited to employee access requests, passwords, access authorizations, system access logs, encryption keys, and related documentation. This series also includes “Banner Request for Access Forms” which are used to track Banner user accounts to ensure appropriate access to various databases.	a) 3 years for system access logs, destroy; b) 3 years after superseded or obsolete for all other records, destroy.		Destroy at end of retention period.
	Forms Development Records	Records document the development of new or revised forms within the institution and is used to provide a history of previous forms. Records may include sample forms; drafts; revisions; form logs/listing; proposals; authorizations; and illustrations.	Until superseded or obsolete, destroy		Destroy at end of retention period.
	Information System Planning and Development Records	Records document the planning and development of university information systems. Although these records typically document computerized information systems, they may also document manual filing systems and microfilm systems. The records are used to insure that planned systems will help an agency fulfill its missions, are cost-effective, conform to adopted information standards, and integrate with existing agency information systems. Records may vary according to the level of documentation required for each system, but may include: information technology plans; feasibility studies; cost-benefit analyses; studies and surveys; system specifications and revisions; component proposals; technical literature; vendor literature and proposals; and correspondence.	(a) For life of system for implemented systems, destroy;  (b) 3 years for unimplemented systems, destroy.		Destroy at end of retention period.



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Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Microfilm Quality Control Records	Records may include: microfilmed records lists; microfilm reel indexes; service bureau transmittals; film inspection reports; methylene blue certifications; Security Copy Depository transmittals; camera/processor/duplicator inspection reports; equipment and operator logs; and correspondence.	For the same retention period as related microfilm, destroy.		Destroy at end of retention period.
Software Management Records	Records document the use of software in university information systems. The series is used to insure that university software packages are compatible, that license and copyright provisions are in compliance, and that upgrades are obtained in a timely manner. Records include software purchase records; software inventories; software licenses; site licenses; and correspondence.	Until software is disposed of or upgraded, destroy.		Destroy at end of retention period.
Telecommunication System Management Records	Records document the creation, modification, and disposition of university telecommunications systems. Records include: equipment records; Federal Communications Commission records; repair order forms; system planning records; telecommunications maintenance contracts and service orders; and related correspondence.	For life of system, destroy.		Destroy at end of retention period.
<b>Libraries, Archives, and Other Collections records</b>				
Borrowers Registration Records	Records used to grant citizens library cards and privileges Individual borrower information may include but is not limited to name, address, telephone number, date of birth, signature, expiration date, identification number and related data.	1 year		<b>CONFIDENTIAL DESTRUCTION:</b> Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the Confidential Recycling Procedure for more information.



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Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Collection and Artifact Acquisition and Exchange Records	<p><i>Curatorial Records, Collection Management Records.</i> Records used to document the acquisition, accessioning, use, preservation, storage, transfer and disposition of artifacts and collections at an institution's museum, archives or library special collection, herbarium, or other repository which is used for research purposes. This series may include but is not limited to a log that lists the date of acquisition, acquisition/accession numbers assigned, brief descriptions of artifacts or collections, and donor names; gift receipt forms or other acquisition records that list detailed descriptions of artifacts, donors' name(s), addresses, telephone numbers, acquisition numbers, and values (if known); cataloging worksheets listing acquisition numbers, identification and provenance of artifacts or collections, description of artifacts, and donor/owner names and addresses; deed of gift listing transfer of legal ownership or custody of artifacts or collections, their descriptions and conditions, declarations as lawful owners of the property, and signatures and dates of transfer; object file cards showing each acquired item arranged by nomenclature; subject file cards showing each acquired item and its arrangement; numerical file cards showing each acquired item arranged in acquisition number sequence; wildlife collecting permits which are the legal documentation for having wildlife carcasses; guns and weapons registration forms which provide the legal authority for the collection unit to possess firearms; condition/conservation records, photographs of objects, and related documentation and correspondence. The series may also include</p>	Permanent		Housed in the University Archives.





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	Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
		donor correspondence; descriptions of property; inventory lists; incoming loan agreements; background data about the collections and/or persons associated with the collections; receipt of collections documentation; donor agreement forms or instruments of donation; purchasing data; publicity records; foundation equity history reports; declaration of charitable gifts forms; copyright and citation information.			
	Circulation Records	Records document the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to the name and identification of the borrower; the titles of materials borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence.	Until the transaction is completed, destroy.		CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the Confidential Recycling Procedure for more information.
	Collections Control Records	<i>Transmittal Forms, Accessions Databases, Catalogs, Manuscripts Acquisition and Exchange Records.</i> Records that document the maintenance of materials which typically involve accessioning, cataloging, preserving, and/or referencing. This series may include but is not limited to: accession sheets; archives transmittal lists; accession reports; computer cataloging records; catalogs of holdings; reference guides and finding aids; request for permission to publish or reproduce images forms; (collection inquiries; budget and purchasing data;) and related documentation and correspondence.	Permanent		Housed in the University Archives
	Deaccession Records	Records document recommendations concerning deaccessioning of specific holdings and action upon those recommendations. This series may	Permanent		Housed in the University Archives



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	Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
		include but is not limited to transfer forms to transfer ownership/custody of materials held within institutional collections to other institutions; deaccessioning documentation which lists the artifacts by acquisition numbers and descriptions, names of persons making deaccession recommendations and dates, reasons for deaccessioning, documentation that legal searches of donor records have been done to establish that the institution is not precluded from deaccessioning and to establish whether the donors are still living, appraised values (including whether these are estimates or have been appraised), signatures of approval for deaccessioning and dates, and dispositions of materials and dates; deaccessioning and weeding listings; reports of deaccessioning; and related documentation and correspondence.			
	Friends Records (Library Associates)	Records document the efforts of special interest support groups to establish relationships with community agencies, individuals, businesses, and groups to gain their assistance with the development and coordination of institutional programs. This series may include but is not limited to establishing documents; bylaws; reports; brochures; newsletters or publications; meeting agendas; minutes; and related documentation and correspondence.	Permanent		Housed in the University Archives
	Interlibrary Loan (ILL) Records	Records document requests made of the institution for materials from outside sources and also institution requests for materials from other institutions. This series may include but is not limited to materials request forms; invoices for services provided; and related documentation.	3 years, destroy		Destroy at end of retention period.
	Records Management Records	<i>Transmittal Forms</i> Records document the Retention and disposition of records created by the	a. Permanent for records destruction authorizations,		a. Housed in the University Archives.



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Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
	institution's offices and the production of an institutional records Retention and disposition schedule approved and authorized by the State Archivist. This series may include but is not limited to records destruction authorizations; records inventory worksheets; special records disposition schedules; records transmittal lists; guides to microfilmed records; and related documentation and correspondence.	<p>records transmittal lists, and guides to microfilmed records;</p> <p>b. 5 years for all other records, destroy.</p>		b. Destroy at end of retention period.
Serials Records	Records document the receipt and payment history for serials purchased by the libraries. This series may include but is not limited to periodical check-in cards; shelf list cards; payment cards; serials data input work form sheets; data base reports; item records; and related documentation.	Permanent		Housed in the Technical Services Department
<b>Legal Division/University Counsel</b>				
Administrative Procedures		Permanent		Housed in the university archives
Board of Governors Policies		Permanent		Housed in the university archives.
Bond Records		Permanent		House in Legal
Clery Act Records	The Clery Act requires all colleges and universities that participate in federal financial aid programs to keep and disclose information about crime on and near their respective campuses	Temporary; 7 years		<b>CONFIDENTIAL DESTRUCTION:</b> Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the Confidential Recycling
Deeds/Property Records		Permanent		Remain in unit.



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Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Employee Grievance Records		Temporary; 2 years		CONFIDENTIAL DESTRUCTION: Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration. See the Confidential Recycling
Leases/Licenses		Temporary; 10 years		
Litigation Files		Temporary; 2 years		
Presidential Search Records	Records related to the search for a new president for Marshall University.	Permanent		Housed in the university archives
Trademark/Patent/Copyright Records	Any records pertaining to university copyrights, patents, and trademarks.	Permanent		Housed in legal.
<b>STUDENT and COURSE RECORDS (Admissions and Registrar Records) (From AACRAO's Retention of Records)</b>				
<u>ADMISSION RECORDS</u>				
For applicants who do <u>not</u> enroll				
<u>ADMISSION DOCUMENTS</u>				
Admission letters	Notices of admission, denial, waitlist notification	1 year after application		CONFIDENTIAL DESTRUCTION:
Correspondence, relevant		1 year after application		CONFIDENTIAL DESTRUCTION:
Waivers of rights of access (admissions)	Waiving right of access to admission letters of recommendation	Until admitted		CONFIDENTIAL DESTRUCTION:
<u>APPLICATION MATERIALS</u>				
Applications for admission or re-admission	Admission application such as undergraduate, graduate, international, non-degree/special admittance	1 year after application		CONFIDENTIAL DESTRUCTION:



# RECORD RETENTION SCHEDULE

Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Credit by examination	Reports/scores on Advanced Placement, CLEP, PEP, etc.	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Entrance examination reports/test scores	Standardized test scores, such ACT/SAT, LSAT, MCAT, GRE, TOEFL	1 year after application		CONFIDENTIAL DESTRUCTION:
Medical Records	Includes such thing as immunization records	1 year after application		CONFIDENTIAL DESTRUCTION:
Letters of recommendation (admissions)	Letters of recommendation (admissions)	1 year after application		CONFIDENTIAL DESTRUCTION:
Military documents	Military documents	1 year after application		CONFIDENTIAL DESTRUCTION:
Placement test records/scores	Placement test records/scores	1 year after application		CONFIDENTIAL DESTRUCTION:
Residency classification forms	Residency classification forms	1 year after application		CONFIDENTIAL DESTRUCTION:
Test score (other)	Test score (other)	1 year after application		CONFIDENTIAL DESTRUCTION:
Transcripts (high school)	Transcripts (high school)	1 year after application		CONFIDENTIAL DESTRUCTION:
Transcripts (other colleges)	Transcripts (other colleges)	1 year after application		CONFIDENTIAL DESTRUCTION:
<u>INTERNATIONAL STUDENT DOCUMENTS</u>				
Alien Registration Receipt Card	Evidence of admissibility as a permanent resident	1 year after application		CONFIDENTIAL DESTRUCTION:
DS-2019	Certificate of eligibility for J1 visa status (formerly IAP-66)	1 year after application		CONFIDENTIAL DESTRUCTION:
Employment Authorization (work permit), if granted	Employment Authorization (work permit), if granted	1 year after application		CONFIDENTIAL DESTRUCTION:
I-20	Certificate of eligibility for F-1 visa status	1 year after application		CONFIDENTIAL DESTRUCTION:
I-94 Card (copy)	Document issued to nonimmigrants, also known as Arrival-Departure Record	1 year after application		CONFIDENTIAL DESTRUCTION:
Passport number		1 year after application		CONFIDENTIAL DESTRUCTION:
Statement of Educational Costs	Estimate of total school year costs	1 year after application		CONFIDENTIAL DESTRUCTION:



# RECORD RETENTION SCHEDULE

Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Statement of Financial Responsibility	Evidence of adequate financial resources	1 year after application		CONFIDENTIAL DESTRUCTION:
<b>For applicants who enroll</b>				
<u>ADMISSION DOCUMENTS</u>				
Admission letters	Notices of admission, denial, waitlist notification	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Correspondence, relevant	Correspondence, relevant	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Waivers of rights of access (admissions)	Waiving right of access to admission letters of recommendation	Until admitted		CONFIDENTIAL DESTRUCTION:
<u>APPLICATION MATERIALS</u>				
Applications for admission or re-admission	Admission application such as undergraduate, graduate, international, non-degree/special admittance	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Credit by examination	Reports/scores on Advanced Placement, CLEP, PEP, etc.	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Entrance examination reports/test scores	Standardized test scores, such ACT/SAT, LSAT, MCAT, GRE, TOEFL	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Medical Records	Includes such thing as immunization records	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Letters of recommendation (admissions)	Letters of recommendation (admissions)	Until Admitted		CONFIDENTIAL DESTRUCTION:
Military documents	Military documents	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Placement test records/scores	Placement test records/scores	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Release from high school or Dual Enrollment forms	Release from high school or Dual Enrollment forms	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Residency classification forms	Residency classification forms	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Test score (other)	Test score (other)	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Transcripts (high school)	Transcripts (high school)	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:



# RECORD RETENTION SCHEDULE

Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Transcripts (other colleges)	Transcripts (other colleges)	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
<u>INTERNATIONAL STUDENT DOCUMENTS</u>				
Alien Registration Receipt Card	Evidence of admissibility as a permanent resident	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
DS-2019	Certificate of eligibility for J1 visa status (formerly IAP-66)	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Employment Authorization (work permit), if granted	Employment Authorization (work permit), if granted	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
I-20	Certificate of eligibility for F-1 visa status	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
I-94 Card (copy)	Document issued to nonimmigrants, also known as Arrival-Departure Record	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Passport number	Passport number	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Statement of Educational Costs	Estimate of total school year costs	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Statement of Financial Responsibility	Evidence of adequate financial resources	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
<u>STUDENT ACADEMIC RECORDS</u>				
<u>ACADEMIC PROGRAM RECORDS</u>				
Academic advisement records	Academic advisement records	2 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Academic warning	Notice of academic action related to academic non-performance/deficiency	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Academic suspension	(same as above)	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION:
Academic dismissal	(same as above)	Permanent		Retained by the Registrar
Academic integrity code violations (with sanctions)	Notice of violation of academic integrity policies including sanctions, if any	Permanent		Retained by the Registrar
Academic Records (miscellaneous)	Narrative evaluations, competency assessments, etc.	Permanent		Retained by the Registrar



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Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Correspondence (student)	Related to academic records, inquiries	1 year		CONFIDENTIAL DESTRUCTION
Disciplinary action records	Grade or program actions, notice of sanctions related to personal conduct	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
Grievance/complaint (by student)	Various course/exam related issues. Not grade or FERPA disputes	3 years after closure		CONFIDENTIAL DESTRUCTION
Leave of Absence	Leave of Absence	2 years		CONFIDENTIAL DESTRUCTION
Major changes, Certification of 2 <sup>nd</sup> Majors, Minors	Major changes, Certification of 2 <sup>nd</sup> Majors, Minors	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
Petitions (academic)	Exceptions to academic rules	4 years		CONFIDENTIAL DESTRUCTION
Thesis/Dissertation		Permanent		Retained by the University Libraries in Marshall Digital Scholar
Transcripts	Permanent academic record	Permanent		Retained by the Registrar
<u>CERTIFICATION/VERIFICATION RECORDS</u>				
Athlete Eligibility reports	Athlete Eligibility reports	1 year after certification		CONFIDENTIAL DESTRUCTION
Athlete records	Initial and continuing eligibility information, academic information, documentation of participation, tutor evaluation and assessment	10 years		CONFIDENTIAL DESTRUCTION
Enrollment verifications	Verifications of enrollment, graduation, GPA and other related academics	1 year after verification		CONFIDENTIAL DESTRUCTION
Residency verification records	Documents in support of verifying residency in state for tuition purposes	6 years after submission		CONFIDENTIAL DESTRUCTION
Teacher certifications	Teacher certifications	1 year after certification		CONFIDENTIAL DESTRUCTION
Transcript requests (student)	Official transcript requests by student	1 year after date submitted		CONFIDENTIAL DESTRUCTION
VA certification records	Certifying documents for federal VA benefits	3 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION





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	<b>Record Series Title</b>	<b>Description</b>	<b>Retention Period</b>	<b>Remarks</b>	<b>Disposition of the Record</b>
	<u>DEGREE AND CERTIFICATE RECORDS</u>				
	Application for degree or other credential	Degree application, records of degree name, etc.	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	Degree audit records	Degree audit in support of graduation clearing	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	Diplomas	Diplomas (returned)	5 years		CONFIDENTIAL DESTRUCTION
	Graduation lists	Lists of graduates for graduating class	Permanent		Retained by the Registrar; Copy to the University Archives
	Substitution/waivers	Approvals to meet program requirements with administrative action	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	<u>GRADE AND SCHOLARSHIP/DEFICIENCY RECORDS</u>				
	Exams (final)/graded coursework	Exams (final)/graded coursework	1 year after course completion		CONFIDENTIAL DESTRUCTION
	Grade appeal/complaint	Student final grade disputes	1 year		CONFIDENTIAL DESTRUCTION
	Grade book (faculty)	Records of students in course and work completed	5 years after course completion		CONFIDENTIAL DESTRUCTION
	Grade change forms	Records of authorization to change grade	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	Grade reports (final)	Record of grades released to students	1 year after date distributed		CONFIDENTIAL DESTRUCTION
	Grade reports (midterm)	Record of mid-terms grades submitted by faculty	End of term		CONFIDENTIAL DESTRUCTION
	Grade submission sheets/data	Original record of grades submitted at end of term	Permanent		Retained by the Registrar
	<u>MISCELLANEOUS RECORDS</u>				
	Name change authorizations	Name change authorizations	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	Personal data information forms	Change of address, race/ethnicity questionnaires, other demographic data	1 year after graduation or non-attendance		CONFIDENTIAL DESTRUCTION



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	<b>Record Series Title</b>	<b>Description</b>	<b>Retention Period</b>	<b>Remarks</b>	<b>Disposition of the Record</b>
	Transfer credit evaluations	Transfer credit evaluations	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	Tuition and fee charges	Tuition and fee charges	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	<u>REGISTRATION AND ENROLLMENT RECORDS</u>				
	Class schedules (students)	Student schedules for each term	1 year after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	Class lists	Record of class rosters for each term	Permanent		Retained by the Registrar
	Course repeat form/approval		1 year after date submitted		CONFIDENTIAL DESTRUCTION
	Credit/no credit, audit, pass/no pass approvals	Authorizations for various enrollment options	1 year after date submitted		CONFIDENTIAL DESTRUCTION
	Enrollment changes	Record of student add/drop/withdraw form class	1 year after date submitted		CONFIDENTIAL DESTRUCTION
	Hold or encumbrance authorizations	Registration and transcript holds	1 year after released		CONFIDENTIAL DESTRUCTION
	Registration/enrollment records	Initial registration forms, current enrollment records	1 year after date submitted		CONFIDENTIAL DESTRUCTION
	Withdrawal/cancellation of enrollment records	Record of request to withdraw from all classes	5 years after graduation or non-attendance		CONFIDENTIAL DESTRUCTION
	<u>STUDENT RECORD ELECTRONIC DATA</u>				
	Data change logs	Electronic log of changes to enrollment and other data, including data/time stamp information and user that changed data if that data is maintained separately in system	10 years		CONFIDENTIAL DESTRUCTION
	E-mail data/information	E-mails and other electronic communication that authorize academic/enrollment actions and/or provide directory/non-directory information about a student	Variable based on content of e-communication	Refer to the Marshall Univ. Board of Gov. Policy No. IT-3, Electronic Communications Policy	CONFIDENTIAL DESTRUCTION



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Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Enrollment data	Electronic record of enrollment in classes, including records of drop, add and enrollment change activity	10 years		CONFIDENTIAL DESTRUCTION
Grade data	Electronic record of submitted grades and grade changes, including date/time stamp and user data	Permanent		Retained by the Registrar
Student demographic information	Electronic student data including student characteristics, date of birth, former names, address information, photo ID and ethnic information , etc.	50 years		Retained by the Registrar
<b><u>FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) RECORDS</u></b>				
Requests for formal hearings	Student-initiated request for formal hearing regarding amendment of education record	Permanent as long as the record is maintained		Retained by the Registrar; Confidential Destruction when retention is no longer required.
Requests for and disclosures of personally identifiable information	Necessary for compliance with record-keeping requirements in FERPA	Permanent as long as disclosed record is maintained		Retained by the Registrar; Confidential Destruction when retention is no longer required.
Requests for nondisclosure of directory information	Student request to opt-out of directory information disclosure	Permanent or until terminated by the student		Retained by the Registrar; Confidential Destruction when retention is no longer required.
Statements on content of records regarding hearing panel decisions	If student request for amendment of record not granted, the student statement is included in record	Permanent as long as the record is maintained		Retained by the Registrar; Confidential Destruction when retention is no longer required.
Written consent for records disclosure	Student signed (electronic or paper) authorization for disclosure of education record	Permanent or until terminated by the student		Retained by the Registrar; Confidential Destruction when retention is no longer required.



# RECORD RETENTION SCHEDULE

Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Waivers for rights of access		Until terminated by the student as long as the record is maintained		Retained by the Registrar; Confidential Destruction when retention is no longer required.
Written decisions of hearing panels	Decisions resulting from formal hearings regarding amendment of education records	Permanent as long as the record is maintained		Retained by the Registrar; Confidential Destruction when retention is no longer required.
<b>Publications, Statistical Data, and Institutional Reports (From AACRAO's Retention of Records)</b>				
Catalogs	Published, annually or bi-annually, record of courses, degrees and programs of study offered	Permanent		Retained by the Registrar; One copy to the University Archives.
Commencement programs	Published record of graduates for public distribution	Permanent		Retained by the Registrar; One copy to the University Archives.
Degree statistics	Record of degrees granted by institution per graduation term and/or annually	Permanent		Retained by the Registrar; One copy to the University Archives.
Enrollment statistics	Per term report of enrolled students, e.g. by class, by course, totals, headcount and FTE	Permanent		Retained by the Registrar.
Grade distribution and other grade statistics	Report of grades given including summary grade point statistics by class	Permanent		Retained by the Registrar.
Instructor evaluations (by students)		1 semester		CONFIDENTIAL DESTRUCTION
Race/ethnicity reporting	Report of student enrollment, graduation and other metrics by race and ethnic origin	Permanent		Retained by the Registrar.
Schedules of classes	Per term listing of all courses offered including time/day and seat limits	Permanent		Retained by the Registrar; One copy to the University Archives.



# RECORD RETENTION SCHEDULE

Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
<b>Federal Disclosure Records (From AACRAO's Retention of Records)</b>				
Athletic Participation/EADA documents		3 years from date of required disclosure		CONFIDENTIAL DESTRUCTION
College Costs, Accreditation, Textbook Information, Transfer Credit Policy	Complies with the Higher Education Opportunity Act	3 years from date of required disclosure		CONFIDENTIAL DESTRUCTION
Crime Statistics/Security Reports	Complies with Clery Act reporting requirements	3 years from date of required disclosure		CONFIDENTIAL DESTRUCTION
Graduation/completion, transfer-out Data	Complies with Student-Right-to-Know legislation	3 years from date of required disclosure		CONFIDENTIAL DESTRUCTION
Institutional Information (Cost of Attendance, Withdrawal Procedures, Accreditation, etc.)		3 years from date of required disclosure		CONFIDENTIAL DESTRUCTION
<b>Federal Disclosure Records (From AACRAO's Retention of Records)</b>				
Accrediting and licensing agency review, approvals, and reports	Accrediting and licensing agency review, approvals, and reports	3 years from award year		CONFIDENTIAL DESTRUCTION
Audit reports and school responses	Audit reports and school responses	3 years from award year		CONFIDENTIAL DESTRUCTION
Records pertaining to financial responsibility and standards of administrative capability	Records pertaining to financial responsibility and standards of administrative capability	3 years from award year		CONFIDENTIAL DESTRUCTION
Program participation agreement	Program participation agreement	3 years from award year		CONFIDENTIAL DESTRUCTION
Self-evaluation reports	Self-evaluation reports	3 years from award year		CONFIDENTIAL DESTRUCTION
State agency reports	State agency reports	3 years from award year		CONFIDENTIAL DESTRUCTION
<b><u>SFA FISCAL RECORDS</u></b>				
Bank statements for accounts containing SFA funds	Bank statements for accounts containing SFA funds	3 years from award year		CONFIDENTIAL DESTRUCTION



# RECORD RETENTION SCHEDULE

Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Federal work-study payroll records	Federal work-study payroll records	3 years from award year		CONFIDENTIAL DESTRUCTION
Ledgers identifying SFA transactions	Ledgers identifying SFA transactions	3 years from award year		CONFIDENTIAL DESTRUCTION
Records of SFA program transactions	Records of SFA program transactions	3 years from award year		CONFIDENTIAL DESTRUCTION
Records of student accounts	Records of student accounts	3 years from award year		CONFIDENTIAL DESTRUCTION
Records supporting data on required reports	SFA program reconciliation reports, audit reports, and school responses, Pell grant statements of accounts; Accrediting and Licensing agency reports	3 years from award year		CONFIDENTIAL DESTRUCTION
<b><u>SFA RECIPIENT RECORDS</u></b>				
Application data	Application data submitted to the Dept. of Education or lender by the school on behalf of the student	3 years from award year		CONFIDENTIAL DESTRUCTION
Data used to establish student's admission, enrollment status, period of enrollment	Data used to establish student's admission, enrollment status, period of enrollment	3 years from award year		CONFIDENTIAL DESTRUCTION
Date and amount of disbursements	Date and amount of disbursements	3 years from award year		CONFIDENTIAL DESTRUCTION
Documentation of student's eligibility	Documentation of student's eligibility	3 years from award year		CONFIDENTIAL DESTRUCTION
Documentation of student's satisfactory academic progress	Documentation of student's satisfactory academic progress	3 years from award year		CONFIDENTIAL DESTRUCTION
Documentation of student's program of study and enrolled courses	Documentation of student's program of study and enrolled courses	3 years from award year		CONFIDENTIAL DESTRUCTION
Documentation related to the receipt of aid	Such as: amount of grant, loan, FWS award; and calculations used to determine aid amounts	3 years from award year		CONFIDENTIAL DESTRUCTION
Documentation of initial or exit loan counseling	Documentation of initial or exit loan counseling	3 years from award year		CONFIDENTIAL DESTRUCTION



# RECORD RETENTION SCHEDULE

Record Series Title	Description	Retention Period	Remarks	Disposition of the Record
Documentation supporting the school's calculation of its completion/graduation or transfer-out rate	Documentation supporting the school's calculation of its completion/graduation or transfer-out rate	3 years from award year		CONFIDENTIAL DESTRUCTION
Documents used to verify applicant's data	Documents used to verify applicant's data	3 years from award year		CONFIDENTIAL DESTRUCTION
Financial aid history for transfer students	Financial aid history for transfer students	3 years from award year		CONFIDENTIAL DESTRUCTION
Reports and forms used for participation in the SFA program	Reports and forms used for participation in the SFA program	3 years from award year		CONFIDENTIAL DESTRUCTION
Student Aid Report (SAR) or Institutional Student Information Record (ISIR)	Student Aid Report (SAR) or Institutional Student Information Record (ISIR)	3 years from award year		CONFIDENTIAL DESTRUCTION
<b><u>REQUIREMENTS FOR SPECIFIC AID</u></b>				
Borrowers eligibility records	Borrowers eligibility records	3 years from award year (end of award year/of student's last attendance)		CONFIDENTIAL DESTRUCTION
Campus-based aid (Perkins loan, SEOG, and Federal Work Study)	Campus-based aid (Perkins loan, SEOG, and Federal Work Study)	3 years from award year (end of award year)		CONFIDENTIAL DESTRUCTION
FFEL and Direct Loans:	FFEL and Direct Loans:	3 years from award year (end of award year)		CONFIDENTIAL DESTRUCTION
Fiscal Operations Report (FISAP)	Fiscal Operations Report (FISAP)	3 years from award year (end of award year/of report submission)		CONFIDENTIAL DESTRUCTION
Pell Grant	Pell Grant	3 years from award year (end of award year)		CONFIDENTIAL DESTRUCTION
Perkins repayment records	Perkins repayment records	3 years from date loan assigned, cancelled, or repaid		CONFIDENTIAL DESTRUCTION
Perkins original promissory notes	Perkins original promissory notes	Until loan is satisfied or documents are needed to enforce obligation		CONFIDENTIAL DESTRUCTION
All other records/reports	All other records/reports	3 years from award year (end of award year/of report submission)		CONFIDENTIAL DESTRUCTION



# RECORD RETENTION SCHEDULE

	<b>Record Series Title</b>	<b>Description</b>	<b>Retention Period</b>	<b>Remarks</b>	<b>Disposition of the Record</b>