

General Retention Schedule for the University of North Dakota

Record Titles Identified From Worksheets and Interviews

29-Oct-08

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Standard Record Series / User Records				
Accounting				
<u>Accounts Payable</u>				
Accounts Payable This record series contains records documenting expenditures and purchases from entities outside of the University. This includes billings, invoices, request for payments, refund/disbursements, vouchers, check copies, cancelled checks, registers, journal entries, adjusting memos, etc. that show creation and payment of financial obligations. The office of record is Accounting Services.	CFY+10 yrs	CFY + 1 yr	Shred	011507
Accounts Payable Reporting This record series contains reports generated for review or balancing of Accounts Payable system. The office of record is Accounting Services.	CM + PM	CM+PM	Recycle	011508
Inter-departmental Billings This record series contains departmental records documenting activities and charges owed by internal University departments and functions to other departments. The office of record is Originating Department or Accounting Services.	CFY+10 yrs	CFY + 1 yr	Recycle	011509
<u>Accounts Receivable</u>				
Accounts Receivable This record series contains a record of charges to customers for any goods or services rendered or collected by the institution. May include journal entries and adjusting memos, work orders, and subsidiary records reflecting customer charges for goods or services and payments or credits applied to the account. The office of record is originating department or function.	CFY + 10 yrs	CFY + 1 yr	Shred	011810
Accounts Receivable Reporting This record series Consists of various reports concerning accounts receivable. The office of record is Accounting Services.	CM + PM	CM+PM	Shred	011811
Patient Billing Records This record series contains itemized billing records for services rendered. The office of record is the School of Medicine.	CFY + 6 yrs	CFY + 6 yrs	Shred	011813
Patient Accounts Written Off This record series contains information on patient billing accounts that have been written off. The office of record is the School of Medicine.	CFY + 6 yrs		Shred	011814
Delinquent Accts / Collections This record series contains records associated with attempts to collect delinquent debts. Includes records associated with collection efforts using outside agencies and legal processes. The office of record is the Business Office.	Collection + 6 yrs	CFY + 3 yrs	Shred	011812
<u>Audit</u>				
External Audit Reports This record series contains audit reports received from audits conducted by external auditors employed by the University or by outside parties. Includes fiscal, performance, academic, athletic, and compliance audits. The office of record is Internal Auditing and Controller.	CFY + 10 yrs	CFY+ 3 yrs	Recycle	150101
External Audit Workpapers This record series contains information provided to external auditors for their use in auditing University programs or activities. Includes all records associated with the audit with the exception of the audit report and records addressing audit findings. The office of record is the Controller.	CFY + 10 yrs	CFY + 3 yrs	Recycle	150201
Internal Audit Reports This record series contains audit reports resulting from audits conducted by University staff. The office of record is Internal Auditing.	CFY + 10 yrs	CFY + 3 yrs	Recycle	150102
Internal Audit Workpapers This record series contains internal audit workpapers including copies of documents, calculations, discussions and other materials used to develop or as reference in Internal Audit Report. The office of record is Internal Auditing.	CFY + 7 yrs or completion of subsequent audit, whichever comes first	CFY + 3 yrs	Recycle	150202

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Cash Management				
Banking Records / Deposits This record series contains records relating to deposits of cash, checks, check registers, cancelled checks, etc. with a financial institution or approved off-campus center such as family practice facilities outside of Grand Forks. The office of record would be Accounting Services and other off-campus sites.	CFY + 10 yrs		Recycle	010612
Credit Card Transaction documents - Grant and Non-Grant This record series contains information/reports that are generally generated from the credit card processing machine, but may include order forms, registration forms, or any other document that includes credit card information that was needed to process the credit card transaction. The office of record is the originating department. For more detailed records retention information regarding credit card transaction documents, refer to Policy 2.3 - Accepting Credit Cards to Conduct University business. NOTE: The source documents for maintaining a record of financial transaction are contained in record series 011503 and 011510. The documents contained in this record series contain credit card numbers and other high risk identity theft information and are to be destroyed in compliance with the new credit card company PCI compliance requirements.	CFY + 2 rs		Shred	011017
Receipts/Cash Transaction Records-Non-Grant This record series contains information that provides a verification of payments received for goods or services provided by the department. This may include journal tapes from a cash register, cash receipt books, receipts, mail logs, departmental deposit forms, cash daily activity, commission etc. This information does not include credit card reports or information. For grant fund related transactions, refer to 011510; the originating department is Grants and Contracts Administration. The office of record is the originating department.	CFY + 3 yrs		Recycle	011503
Receipts/Cash Transaction Records-Grant This record series contains information that provides a verification of payments received for goods or services provided by the department. May include journal tapes from a cash register, cash receipt books, receipts, mail logs, departmental deposits, cash daily activity etc. The office of record is the originating department.	CFY + 10 yrs		Recycle	011510
Ticket/ Event Sales This record series contains records relating to event or ticket sales activity. This includes event and ticket sales for the athletic department, performing arts, or other activities sponsored by the University. Records may include stock orders; ticket type reports; stock purchase records; box office balance sheets; printing and control records; season ticket sales listings; voided tickets, mail order receipts and orders; third party and telephone sales records; ticketmaster reports; complimentary ticket distribution records; merchandise and concession inventory records; deposits and correspondence relating to ticket sales. The office of record is originating department.	CFY + 3 yrs		Shred	011606
Fiscal Reporting				
Annual Financial Statements/Reports This series contains the Annual Financial Reports and the Annual Financial Statements for the University. The Audited Financial Statement may be completed by the State Auditor's Office or another third-party auditing agency. The Office of Record is the Controller's Office.	CFY + 10 yrs	CFY+1	Archives	011014
Chart of Accounts This record series contains records relating to creation and changes to the chart of accounts. The office of record is Accounting Services.	CFY + 10 yrs	CFY	Shred	011302
General Ledger This record series contains General Ledgers showing annual financial transactions. The office of record is Accounting Services.	CFY + 10 yrs		Recycle	011303
Monthly Financial Reports This record series contains monthly reporting of financial transactions. Includes revenue and expense reports, fund summary, fund summary transaction reports, and reconciliation to these reports. The office of record is Accounting Services.	CFY + 3 yrs	CFY+1	Recycle	011007
Surplus Property Disposal This record series contains records of sales or disposal of surplus property owned by the University. Includes valuations, bills of sale, and receipts. Central Receiving is the office of record.	CFY + 10 yrs	CFY + 1 yr	Recycle	011204

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General				
Bond Issue Books This series contains those records related to bonds issued, including all legal documents regarding the bond issue. It also provides a historical record of the transactions. Active ceases when the bond has been paid in full. The Office of Record is the Vice-President for Finance and Operations.	ACT + 6 yrs	CFY+3	Archives	011015
Paid Bonds and Coupons This series contains paid bonds and coupons. Active ceases when the bonds and coupons have been paid. The Office of Record is the Vice-President for Finance and Operations.	ACT + 6 yrs	CFY+1	Shred	011016
Accreditation				
Accreditation Records This record series contains information that documents the process and status of the accreditation of the University itself, and individual colleges, schools, departments, and programs. Included are self study records, response letters, letter of re-accreditation, lists of accredited UND schools, revisions, etc. The Office of Record is the Provost Office.	Current Period + Previous Period	CFY+1	Archive	020701
Program Evaluations This record series contains evaluations of each undergraduate and graduate academic program. The office of record is the Associate Provost for the undergraduate programs and the Graduate School for the graduate programs.	Current Period + Previous Period	CFY+1	Archive	020703
Supporting Documents This record series contains documents supporting the process and status of becoming accredited and/or activities associated with confirming the accreditation status of the school. Not intended for permanent retention. The office of record is the originating department.	Current Period + Previous Period	CFY+1	Shred	020704
Administrative				
General				
Annual Reports This record series contains a summary of departmental, University, or division activities by year. Transfer to University Archive. The office of record is the originating department.	CFY + 6 yrs	CFY+1	Archives	900203
Bylaws This record series contains bylaws for committees. The office of record is the chair, the secretary/recorder for the committee, or the department. Active ceases when the bylaws have been superseded.	ACT + 3 yrs	ACT	Archives	220301
Calendar Books This record series contains records documenting the official work schedules and appointment books kept by university personnel. The office of record is the originating department.	CY + 2 yrs	CR Month	Recycle	600708
Children File This record series contains all information regarding children who receive childcare services at the University Children's Center at the University of North Dakota. This includes registration, billing information, medication instructions, classroom observations, progress reports, and all parental communication. The Office of record is the UND Children's Center. Active ceases upon the departure of the child.	ACT + 7 yrs		Shred	800211
Departmental Files This record series contains information on each of the different departments on campus, including graduate and undergraduate programs. It includes information on history, documentation on restructuring, trends and other statistics, enrollment numbers, academic program information etc. It does not include organizational charts (See ADM10-30) or financial information. The office of record is the originating department.	Obsolete	OBS	Archives	720101
Directives / Policies / Procedures / Guidelines - Other than the President/Provost This record series contains the official management statements of policy from an office other than the President or Provost for the University and the operating procedures which outline the methods for accomplishing the functions and activities assigned to each department/office. Ex.) Safety manual. Active ceases when the directives, policies, procedures, or guidelines have been superseded. The office of record is the originating department. UND and the UND School of Medicine with transfer records to the UND Archives.	ACT + 3 yrs	SUP	Archives	650501

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Directives / Policies / Procedures / Guidelines - President/Provost				
This record series contains the official management statements of policy for the President's or Provost's office for the University and the operating procedures which outline the methods for accomplishing the functions and activities assigned to each department/office. Active ceases when the directives, policies, procedures, or guidelines have been superseded. The office of record is the Office of the President.	ACT + 3 yrs	SUP	Archives	650502
Events				
This record series contains information on events that are planned by a department, such as graduation, homecoming, recognition ceremony for staff personnel, show records from the Chester Fritz auditorium, etc. The office of record is the originating department. UND and the UND School of Medicine with transfer records to the UND Archives.	CFY + 6 yrs	CFY + 3 yrs	Archives	800311
Faculty Guidelines and Policies				
This record series contains a record of established policies, procedures, and guidelines concerning the faculty. Active ceases when the guidelines or policies have been superseded. The office of record is the originating department.	ACT + 3 yrs	SUP	Archives	650503
Fair Cards				
This record series contains information on students who have visited UND job or career fairs. The office of record is the originating department.	CFY + 1 yr	CFY	Recycle	020501
Identification Card Applications				
This record series contains applications from anyone applying for a UND ID card (Campus Passport). This includes faculty, staff, and students. The office of record is Campus Passport.	CFY + 7 yrs	CFY + 1 yr	Recycle	750201
Identification Card Logs / Faulty or Inaccurate Cards				
This record series contains the log book for faulty or inaccurate identification cards. The office of record is Campus Passport.	CFY + 3 yrs	CFY + 1 yr	Recycle	750202
Indirect Cost Study				
This record series contains information documenting the indirect cost rate that is negotiated with the federal government. The office of record is the Budget Office.	Termination or Expiration + 6 yrs		Recycle	900101
Instructional Development Funding Requests				
This record series contains information on who and for what reason faculty request funding for instructional development. The Office of Record is Instructional Development.	CFY + 5 yrs		Recycle	020206
Internal Proposals (Unrestricted)				
This record series documents the review of all internal proposals. This includes, but is not limited to, SSAC funding, Faculty Research Seed Money, and RDC funding. For compliance committee use 800326. For external proposals use 800903 and 800902. This record may contain actual proposal, supporting documentation, and related correspondence for both approved and denied applications. Active ceases with the completion of the research or the termination of approval process. The office of record is Research Development and Compliance.	ACT + 6 yrs		Shred	300107
Mailing List				
This record series contains a record of addresses for information requests and mailing purposes. This record series includes mailing lists, related documentation, and correspondence. Office of Record is originating department.	Superseded	SUP	Recycle	720301
Organizational Charts				
This record series contains a graphical display of the organizational structure of the University. The office of record is the originating department. Active ceases when the organizational charts have been superseded.	ACT + 3 yrs	ACT	Archives	601503
Outside Income Reporting Letters				
This record series contains information provided to the president disclosing extra income received by coaches from other sources for services rendered. The office of record is the Office of the President.	CFY + 3 yrs		Recycle	850101
Professional Organizations				
This record series contains various information from professional organizations to which an employee may belong. Generally for reference purposes. The office of record is the person belonging to the organization.	Active	ACT	Recycle	720102
Service/ Printing Requests				
This record series contains information furnished in order for printing centers or Desktop Solutions to carry out a printing job. This may include samples of the job, correspondence etc. This does not include billing information. The office of record is the creating department.	CFY + 3 yrs	CFY + 1 yr	Recycle	800312

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<p>Projects</p> <p>This record series contains information documenting the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence. For surveys or questionnaires that a department completes and retains a reference copy, create a record under the survey record series. *Active ceases with the completion of the project. The office of record is the originating department. UND and the UND School of Medicine with transfer records to the UND Archives.</p>	Active + 3 yrs	ACT + 3 yrs	Archives	810101
<p>Reports/Plans</p> <p>This record series contains adhoc reports, progress reports, final reports, strategic plans, disaster plans, etc. For departmental annual reports, use Annual Reports record series (900203). The office of record is the originating department.</p>	Final Report + 3 yrs	Date of Final Report	Archives	900204
<p>Retreats / Workshops / Seminars / Conferences</p> <p>This record series contains documents pertaining to the organization and planning of a retreat, workshop, seminar or conference. This includes Girl's State, athletic camps, and clinics, Children's Center's program reports and conferences run through Conference Services. The office of record is the hosting department.</p>	CFY + 6 yrs	CFY+3	Archives	350501
<p>Surveys</p> <p>This record series contains information on internal surveys done throughout UND. This may include, but is not limited to, faculty and staff salary surveys. Active ceases with the completion of the survey. The office of record is the originating department. (NOTE: The final results or report of the survey should be sent to the University Archives. The supporting documents are to be recycled or shredded if they contain confidential information.)</p>	ACT + 5 yrs	ACT	Recycle/ Shred	900102
<p>Student Guidelines and Policies</p> <p>This record series contains a record of established policies, procedures, and guidelines concerning students. Active ceases when the guidelines or policies have been superseded. The office of record is the originating department.</p>	ACT + 3 yrs	SUP	Archives	650505
<p>Telephone Log</p> <p>This record series contains a listing of telephone calls made by University personnel and residents. Logs include individual date, time, caller, originating telephone number, recipient telephone number and length of call. The office of record is Telecommunications. The office of record is the originating department.</p>	CFY + 3 yrs	CFY + 1 yr	Recycle	430301
<p>Tribal Files</p> <p>This record series contains information on the different Native American Tribes in North America and the Tribal Universities. This includes correspondence, and copies of articulation agreements. The office of record is Native American Programs.</p>	CFY + 5 yrs	CFY + 3 yrs	Archives	800313
<p>Trip Records</p> <p>This record series contains trip records used for general information concerning any trip/travel arrangements for deans, directors, or department chairs. The office of record is the originating department.</p>	CFY + 3 yrs	CFY + 1 yr	Shred	850301
<u>Property / Facilities</u>				
<p>Building/Construction/Plant Improvement</p> <p>This record series contains information on the university's buildings. This may include construction, contracts, change orders, architecture plans, additions, plant improvements and correspondence. The office of record is VPFO, Safety, and Facilities.</p>	Life of Asset + 3 yrs	CFY+6	Archives	800702
<p>Building Key Records</p> <p>This record series contains documentation of key request information related to the requisition, inventory, and return of University-authorized keys. The office of record is Facilities. Active ceases when the key has been turned into the lock shop or for any unaccountable keys when the locks have been changed.</p>	While Active + 3 yrs	CFY+1	Shred	750203
<p>Engineering Design Records (Blueprints)</p> <p>This record series contains drawings, blueprints, specifications, standards and other technical data. Active ceases with disposition of property. The office of record is Facilities or Safety.</p>	Active + 3 yrs	CFY	Archives	800701
<p>Environmental Regulations Records</p> <p>This record series contains documentation that is required to be kept by environmental regulatory agencies, such as the Environmental Protection Agency (EPA) or the North Dakota State Health Department. This includes, but is not limited to, Air Pollution Control Title V Permit to Operate, quarterly, semi-annual, and annual reports and other related supporting documentation or correspondence under Title V of the Clean Air Act. The office of record is Facilities.</p>	CFY+10 yrs	CFY+5	Recycle	750409

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Equipment Information This record series contains repair reports, purchasing information, manuals, may include maintenance contracts, maintenance agreements, etc. for a specific piece of equipment. The office of record is the department owning the equipment.	Life of Equipment + 6 yrs		Recycle	430101
Inventories / Major Equipment This record series contains property inventories major equipment owned by the university. The office of record is Accounting Services.	CFY + 10 yrs	CFY+3	Archives	011205
Inventories / Minor Equipment and Supplies This record series contains inventories of minor equipment and supplies owned by the university. The office of record is Accounting Services.	CFY + 3 yrs	CFY+1	Recycle	011206
Inventories-Stores This record series contains information on inventories held by University stores, such as dining services, aviation, facilities, etc. Office of Record is the department holding the inventory.	CFY + 10 yrs		Recycle	011207
Log Books This record series contains information on the times and usage of university owned equipment. This may include shuttle bus records. The office of record is the originating department.	CFY + 3 yrs	CFY + 1 yr	Recycle	430302
Maintenance Agreements This record series contains all maintenance and/or service agreements on equipment. Initial maintenance contract should be maintained in the equipment information file. Active ceases with the termination or expiration of the agreement. Office of Record is the department responsible for the equipment.	Active + 6 yrs	ACT + 6 yrs	Recycle	300102
Maintenance Records This record series contains information on maintenance performed on equipment owned by the university. This series may include documentation on hours worked, copies of repair records and other related documentation. The office of record is the department responsible for the equipment.	Updated or Obsolete		Recycle	430401
Project Requests This record series contains a record of work requested which usually involves changes for work completed. Transfer of money is involved. (Otherwise, see ADM / Work orders.) The office of record is the department providing the service.	CFY + 3 yrs	CFY + 1 yr	Recycle	800703
Software Inventory This record series contains inventories of software that is installed on university computers. This includes inventory reports generated by ITSS and department inventory records. The office of record is the department responsible for the computer.	ACT + 6 yrs	CFY +1 yr	Recycle	011209
Software Licenses This record series contains documents regarding the purchase of software. Active ceases with the termination or expiration of the license. Office of Record is ITSS or department purchasing the license.	ACT + 6 yrs	ACT + 6 yrs	Recycle	430801
Space Reports This record series contains information related to the allocation of physical space. The Office of Record is Facilities or the originating department.	CFY + 3 yrs	CFY+1 yr	Archives	900210
Warranties / Licenses This record series contains warranties and licenses for equipment owned and licensed by UND. This includes licenses that authorize certain activities like KUND's license to be on air. The office of record is the originating department.	Active + 1 yr		Recycle	800705
Work Orders This record series contains a record of requests to plant services or for repair and/or maintenance of facility and/or property. No money transfer is involved. The office of record is the originating department.	CFY + 3 yrs	CFY+1 yr	Recycle	430501

Records Management

Disposition Records This record series contains documentation of records disposed of in accordance with the Records Retention Schedule and the Records Management Program. Records may include, but are not limited to, Records Disposal Request forms, Records Disposal Authorization and Certificate of Disposal form, and computer-generated disposal listings. The Office of Record is Records Management or the School of Health Sciences Records and Information Management Program.	CFY + 6 yrs	CFY+1 yr	Recycle	650401
Records Inventory This record series contains documentation on the types of records located in University departments/offices. Active ceases when the inventory has been superseded. Office of Record is Records Management.	ACT + 3 yrs	SUP	Recycle	650402
Records Retention Schedule This record series contains a listing of the types of records maintained by the University. Active ceases when the records retention schedule has been superseded. The schedule specifies a period of time after which destruction is authorized. Office of Record is Records Management.	ACT + 3 yrs	SUP	Recycle	650403

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Athletics				
Athletic Aid Eligibility				
This record series contains record of verification by intercollegiate athletics of student athletes' academic progress to the NCAA. These records include computer generated academic progress reports. The office of record is Athletics.	Superseded + 3 yrs		Shred	801106
Championship Competition Reports. This record series contains a listing of all the activities the teams do while attending a championship tournament. This is used for reporting to the NCAA. The office of record is Athletics.	CFY + 3 yrs		Recycle	801102
Competition / Trip Records This record series contains a summary record of individual games and competitions. This may include sport name, opponent name, date, event location, final score, player names and positions, and time played per athlete etc. The office of record is Athletics.	CFY + 1 yr		Recycle	801103
Gender Equity Reports This record series documents the progress made by gender equity in sports over the years. The office of record is Athletics.	Updated + 3 yrs		Archives	801104
Preseason Required Paperwork This record series contains information collected to satisfy NCAA requirements. This may include eligibility, housing releases, and drug tests of students. The office of record is Athletics.	CFY + 6 yrs		Shred	801105
Sports Information This record series contains information on the current and past athletes who have competed for UND. This may include pictures, press releases, newspaper articles, and other related documentation. The office of record is Athletics.	Updated or Obsolete	Updated or Obsolete	Archives	020409
Aviation				
<u>General</u>				
Aircraft Pilot Logs				
This record series contains information inside the aircraft used to record who has flown the aircraft and the hours flown by each. The office of record is Aviation.	CY + 3 yrs		Recycle	430304
FAA Correspondence This record series contains correspondence to the FFA. It may include information about applications, acceptances, regulations, and extensions. The office of record is Aviation.	Updated or Obsolete		Recycle	050201
Flight Instructor Records This record series contains flight information for instructors that teach at UND. The office of record is Aviation.	Active + 3 yrs		Shred	850601
Flight Record Correction Sheets This record series contains the Records Correction Sheets and related documents that are required to be completed before a correction can be made in a student's flight record. The corrections can be made to any of the information loaded into a student's record while the lesson was being tasked. The office of record is Aviation.	CFY+10 yrs	CFY + 1 yr	Shred	800328
Fuel Tax Refunds This record series contains the invoices and reports about fuel that is used. These are sent to obtain tax refunds from the government. The office of record is Aviation.	CFY + 6 yrs		Recycle	012204
Random Drug Testing This series contains information regarding students and staff who have had random drug testing done. This is non-DOT testing. The office of record is Aviation.	5 Years		Shred	601505
<u>Maintenance</u>				
Maintenance				
This record series contains documentation pertaining to the maintenance of UND aircraft. This may include parts and labor documentation, work orders, and parts logs. The office of record is Aviation.	Life of Aircraft + 2 yrs		Original Records to new owner, duplicates to Recycle	430402

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Students				
Certificates Issued Book This record series contains a listing of students and their most current aircraft rating. The office of record is Aviation.	CFY + 3 yrs		Shred	020419
Training				
Maintenance This record series contains certification and training documentation for the maintenance department employees. The office of record is Aviation.	Active + 3 yrs		Recycle	600606
Student This record series contains information on flights and training completed by the student pilots. The office of record is Aviation.	Active + 5 yrs		Shred	020420
Budget				
Budget This record series contains the approved annual and/or biennial budget and other schedules used for budget monitoring. The office of record is the Budget Office.	CY + 6 yrs	CFY+3	Archives	010402
Proposed Budget / Working Papers This record series contains documentation created during preparation and submittal of the annual/biennial budget process. The office of record is the Budget Office and/or the originating department.	CFY + 6 yrs	CFY+3	Recycle	010403
Committees / Councils / Dept. Meetings				
Agenda & Minutes This record series contains a record of actions and transactions taken by University committees, councils, and similar groups. Typically includes minutes, agendas, notes, reports, bylaws, etc. Department of Record is the chair, secretary/recorder or department.	CFY + 6 yrs	CFY+1	Archives	220101
Departmental Meetings This record series contains a record of actions taken by departments. This typically includes to, minutes, agendas, notes, and reports documenting the activities and/or history for a department. Department of Record is the chair, secretary/recorder or department.	CFY + 6 yrs	CFY+1	Archives	220102
Executive Session This record series contains records that are used within the scope of an executive session. This includes mandatory recordings of the executive session. The office of record is originator of executive session.	ACT + 6 months		Shred/Delete	220103
Research Proposals This record series contains information that documents the review of research proposals that go before university compliance committees. This may include, but not limited to, those research proposals that go before the Institutional Review Board (IRB) or the Institutional Biosafety Committee (IBC). Records may include the actual proposal submitted to the appropriate committee, human subject review forms, sample surveys or questionnaires, recombinant DNA research forms, and other related correspondence. Active ceases with the completion of the research or the termination of approval. The office of record is Research Development and Compliance.	Active + 3 years	ACT+3	Shred	800326
Search Committee Records This record series contains a record of committee actions to publicize a position, responses from candidate, offers made, or commitments to hire. Includes correspondence, candidate evaluations, vitae, notes, etc. Department of Record is chair, secretary/recorder or department. EXCEPTION: Presidential, Vice-Presidential, Deans, and Directors searches go to University Archives.	CFY + 3 yrs	CFY+1	Shred	600204
Student Performance / Academic Standards Committees This record series contains minutes for the Student Performance and Recognition Committee and the Academic Standards Committee. These committees deal with student awards and grievances. Department of Record is chair, secretary/recorder or department. Active ceases when issue has been resolved.	Active + 6 yrs	ACT+6	Shred	220302

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Communications				
Audio/Visual Presentations This record series contains photographic proofs and negatives of college or University activities, and presentations for internal and/or external presentation. The office of record is the originating department.	Obsolete	Obsolete	Archives	260701
Daily Operation Logs This record series contains documentation of the daily operations of the Radio station. This may include transmitter readings, tower light checks, and emergency alert tests. The office of record is originating department.	CY + 2 yrs		Recycle	430303
Engineering Files This record series contains FCC applications, mock inspection files, and wiring documents. The office of record is originating department.	Superseded		Recycle	800204
Fund Drive Records This record series contains a list of members and their pledged amount as well as planning information for the fund drive. The office of record is originating department.	CY + 5 yrs		Recycle	800205
Newsletters/Publications This record series contains information on specific events, summary of events, current happenings, etc. These are generally intended for use within a year. This may include Studio One newsletter, Central Legal Research newsletter, academic department newsletters, Geological Publications or CLR's finished product memos, etc. The office of record is the originating department.	Updated or Obsolete	Updated or Obsolete	Archives	260401
Program Lists and Sponsored Shows This record series contains sponsored show agreements and program lists. This includes program logs. The office of record is originating department.	CY + 1 yr		Recycle	800206
Public Files This record series contains documentation required by the FCC for licensing. This may include maps, agreements, etc. The office of record is originating department.	CFY + 7 yrs		Recycle	800207
Public Relations Material This record series contain information concerning University publicity. Included in this series are press releases, newspaper clippings, promotional materials, brochures, bulletins, and other related items. The office of record is the originating department.	Updated or Obsolete	Updated or Obsolete	Archives	260102
Scripts This record series contains scripts written for university sponsored programming like Studio One. The office of record is the originating Department.	Obsolete	Obsolete	Archives	260702
Taped Shows This record series contains recorded shows. The office of record is originating department.	Obsolete	Obsolete	Archives	800208
Underwriting Files This record series contains scripts and contracts for underwriting agreements. The office of record is originating department.	Termination + 6 yrs		Recycle	800209
Contributors/Alumni				
Financial Reports This record series contains various reports received from the Alumni office. This record series may include the donor gift reports and the monthly reports. Office of Record is originating department.	CFY + 3 yrs	CFY+1	Recycle	011009
Fund-Raising Records This record series contains information that documents efforts to raise money and other contributions through contact with alumni and other contributors. This record series may include requests for fund-raising; approvals and priorities; solicitations; and related documentation, reports and correspondence. Active ceases with the completion of the fund-raising campaign. Office of Record is originating department.	Active + 3 yrs	ACT+3	Archives	011010
Gifts/Donations This record series contains the documentation of tangible and intangible donations given to the university. It includes information that documents potential or realized private or corporate funding. This record series may include certificates of gifts, donor records, letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates, and related documentation, reports and correspondence. The office of record is the receiving department. *Retain in the office while active, then send to the University Archives.	PERM	CFY+1	Retain*	011011

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Correspondence				
Executive Correspondence				
This records series contains information that documents significant events and the development of administrative structure for the University. It may also include the historical development of an office/department. This type of correspondence may include, but is not limited to, letters; memoranda; or acknowledgements sent or received. Correspondence may be intra-office, intra-campus, or with external organizations or individuals. The Office of Record is the originating department, or for external correspondence the Office of Record would be the receiving office.	CFY + 6 yrs	CFY+3	Archives	450101
Administrative Correspondence				
This record series contains documents sent or received that contains significant information. The information may be used for fiscal or administrative purposes. Correspondence may be intra-office, intra-campus, or with external organizations or individuals. The Office of Record is the originating department, or for external correspondence, the Office of Record would be the receiving office.	CFY + 3 yrs	CFY+1	Recycle	450102
General Correspondence				
This record series contains documents that pertain to any communications sent or received that does not contain any significant information. The correspondence is general or routing in nature. Correspondence may be intra-office, intra-campus, or with external organizations or individuals. The Office of Record is the originating department, or for external correspondence, the Office of Record would be the receiving office.	CFY + 1 yr	CFY	Recycle	450105
Curriculum				
Academic Administrative Records				
This record series contains information that documents the daily administrative responsibilities of departments, schools, or colleges concerning their respective academic programs. This includes Graduate, undergraduate, and Continuing Education courses for university credit. This series includes enrollment records by term, student enrollment by course numbers and titles, class lists, registration reports, convenience copies of reports prepared by the Office of the Registrar's office, and other related documents. This also, includes Rosters/Class Lists, Course Files, and Enrollment Statistics. The office of Record is the Office of the Registrar.	CFY + 3 yrs	CFY + 1	Archives	020201
Articulation Agreements				
This record series contains information on agreements between UND and other universities for the transfer of course credit from other colleges. The office of record is the Office of the Registrar.	Superseded + 3 yrs		Archives	020207
Class Scheduling Records				
This record series contains documentation of the development of class schedules by academic departments for inclusion in the final time schedule of classes. This includes IVN classes. The office of record is Office of the Registrar.	CFY + 3 yrs	CFY + 1	Recycle	020202
Student's Evaluation of Course and Instructor				
This record series contains a summary report of the evaluations done on the individual instructors and courses. Departmental office may maintain a copy of the instructor evaluation summaries in the faculty personnel file. The office of record is the Office of the Registrar.	CFY + 10 yrs	CFY + 1	Recycle	020203
Course Lecture Notes/Handouts/Master Copy of Exams				
This record series contains faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials. The office of record is the course instructor.	Updated or Obsolete	Updated or Obsolete	Recycle	020205
Educational Catalog Records				
This record series contains a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogs includes academic policies and procedures, program names and descriptions, course names and descriptions, credits offered per course, and related programs and course information. This series may include copies of undergraduate, graduate, and summer catalogs, and the time schedule of classes. Also included in this series is the School of Medicine bulletin. The office of record is the Office of the Registrar and the School of Medicine.	Updated or Obsolete	SUP	Archives	020208
Patient Records for Teaching Purposes				
This record series contains a partial copy of patient medical records used for teaching purposes. The office of record Medical Education IPC.	CFY + 1 yr	CFY + 1	Shred	020204

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<p>Program and Course Request Records</p> <p>This record series contains information that documents the requested approval, and the implementation of undergraduate, graduate, professional degree programs, Continuing Education Programs, and any other reorganizations or changes to established programs. This may include curriculum action documentation, working papers, final reports, related course descriptions, outlines, syllabi, sample examinations, text book lists, etc. The office of record is the Office of the Registrar, Continuing Education, School of Medicine, and the School of Law. UND and the UND School of Medicine with transfer records to the UND Archives.</p>	Updated or Obsolete	Updated or Obsolete	Recycle	020209
<p>Textbook Order Records</p> <p>This record series contains information that documents what books were ordered for the various courses taught in the department. The office of record is the originating department.</p>	CFY + 2 yrs	CFY + 1	Recycle	801201
Grants and Contracts				
<u>Grants</u>				
<p>Chart of Accounts</p> <p>This record series contains a summary of all existing grants. The office of record is Grants and Contracts.</p>	CFY + 10 yrs		Recycle	800901
<p>Grants / Contracts</p> <p>This record series contains grants or contracts that have been awarded for which the university provided research, instruction or other services to a sponsor or third party. This may include award letter/notice, proposal, correspondence, equipment inventory (final), final report, etc., This record series may also contain fellowships. The office of record is Grants and Contracts.</p>	CFY + 10 yrs		Shred	800902
<p>Grant and Contract Funding Opportunity</p> <p>This record series contains general information on grants and contract funding opportunities. May include funding opportunities and fellowship information. Active ceases when the administrative value is lost or no longer current. The office of record is the originating department.</p>	AC	ACT	Recycle	720103
<p>Grant Proposals</p> <p>This record series contains grants, contracts, and fellowships that have been applied for, but not approved. Until the University receives notice on whether the proposals have been awarded or not awarded. For those proposals that are awarded, transfer to the Grants/Contracts (800902) record series. For those proposals that are not awarded, they will be returned to the Principal Investigator (PI) or the originating department and that party will then become the office of record and must retain until the retention requirement has been fulfilled. The office of record is Research Development and Compliance.</p>	CFY + 1 yr	CFY	Shred	800903
<u>Reports</u>				
<p>Effort Reporting</p> <p>This record series contains information on the distribution of effort for employees paid by grant funding. The office of record is Grants and Contracts.</p>	CFY + 10 yrs		Shred	800904
<p>Summary Reports / Financial</p> <p>This record series contains a record of monthly grant financial transactions. Ex.) Principal Investigator summary reports, and detailed transaction reports, etc. The office of record is Grants and Contracts.</p>	CFY + 10 yrs	CFY + 1	Recycle	800905
<p>Financial Interest Disclosure</p> <p>This record series contains the form completed by the principal investigator and key personnel that discloses financial interest that may result in a conflict of interest. The office of record is the Dean's offices or Department Head.</p>	CFY + 10 yrs		Recycle	800906
<p>Grant Reports</p> <p>This record series contains information reported on various grants and the status of each. This includes lobbying certification disclosure reports and presidential reports. The office of record is Research Development and Compliance.</p>	CFY + 3 yrs		Recycle	800907
<p>Technical Reports</p> <p>This record series contains technical/progress reports submitted to sponsoring agencies and publications. This includes any support documentation that a grant or contract has been fulfilled. The office of record is the originating department.</p>	CFY + 10 yrs		Recycle	800908

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Human Resources				
<u>Faculty</u>				
Faculty Personnel Files				
This record series contains information that documents the faculty member's work history. It includes information such as job title, rank and education, employment background, and grant work. This may include copies of a request to recruit, request to appoint, initial vitae, letter of intent, letters of reference, academic records, October Supplements, tenure forms, yearly contracts, listing of grant work, and students' evaluations of course and instructor summary sheets. This includes both academic and clinical faculty. Note: The official personnel file may consist of different information than the department. This includes appointments and contracts, summer session faculty files, and Extension Program Instructor Files. Active ceases with termination of employment. The office of record is Office of the Dean or designee.	ACT + 6 yrs	ACT+6	Archives	600602
Post Doctorates				
This record series contains records dealing with post docs. This may include requests to recruit, request to appoint, and any other information concerning the post docs. Office of Record is the department in which the post-doc is appointed. Active ceases with termination of employment.	Active + 6 yrs	ACT+6	Shred	800315
<u>General</u>				
Affirmative Action				
This record series contains reports dealing with affirmative action requirements made by the government. The office of record is Affirmative Action.	CY + 5 yrs		Recycle	180101
Annual Employee Notification of Policies				
This record series contains documentation showing acknowledgment, through a signed and returned form, that each university employee was notified of any new policies as well as to serve as a reminder of existing policies. This is an annual notification and acknowledgment process. The office of record is the Human Resources Office.	CFY+1	CFY	Recycle	601504
Benefits				
This record series contains information on benefits due employees. This includes insurance, tuition rate reductions, flex benefits, and retirement benefits from both TIAA/CREF and NDPERS. The office of record is Payroll.	Termination + 6 yrs		Shred	600603
Credentials				
This record series contains information on current credentials, license and continuing education records. The office of record is the department for which the employee works.	Active + 3 yrs		Recycle	600607
Employee Manual				
This record series contains the employee policies and procedures manuals for faculty, staff, and student employees. The office of record is the department of employment.	Superseded	SUP	Archives	650101
Immigration				
This record series contains temporary visa and permanent residence documents. The office of record is the International Center.	Active + 6 yrs		Recycle	500201
Applications/Recruitment/Interview				
This record series contains information on applicants screened for jobs at UND. This includes resumes, applications, letters of introductions, and the contents of the human resources transaction file. This includes documentation for faculty, staff and post-doctorate positions. The successful applicant's records are then filed with the personnel files. The office of record is Human Resources, Academic Affairs or the hiring department.	CFY + 3 yrs	CFY+1	Shred	600202
Volunteer				
This record series contains information on the different volunteers that donate their time. This includes applications, letters of reference, and a list of training with their certificates. The office of record is the office for which the work is done.	Active + 3 yrs		Recycle	601501
<u>Staff</u>				
Market Data				
This record series contains the UND market salaries by position. The office of record is Personnel.	CY + 1 yr		Recycle	601502
Staff Personnel Files				
This record series contains active and inactive staff personnel files. This record series contains non-faculty personnel files which include routine personnel forms and other employee related records. They are used to document period of employment, position change, salary, and goals. Active ceases with termination of employment. The office of record is Human Resources.	ACT + 6 yrs	ACT+6	Shred	600604

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<p>Position Descriptions</p> <p>This record series contains documentation of position titles and descriptions by position number. Active ceases when the position description is updated or no longer used. The office of record is Human Resources.</p>	ACT + 3 yrs	Updated	Shred	600608
Student				
<p>Employment Records</p> <p>This record series contains active and inactive student employees. This includes undergraduate, graduate, and medical students. This series documents the student employee's work history and contains records for work-study and institutional student employees. It may include resumes, student's class schedule, employment registration forms, and other related correspondence. The office of record is the department employing the student. Active ceases with termination of employment.</p>	Termination + 6 yrs	ACT+6	Shred	600605
<p>Job Applications</p> <p>This record series contains applications for student employment. Records included, but not limited to, are applications and related correspondence. If applicant is selected transfer record to Student Employment Records (600605). If not hired, leave in this record series until retention period has been met. The office of record is the department employing the student.</p>	CFY + 3 yrs	CFY+1	Shred	600203

Insurance

<p>Disability Insurance Policies</p> <p>This record series contains information regarding employee insurance policies. The office of record is Payroll.</p>	Expiration of policy + 6 yrs		Recycle	470201
<p>Disability Insurance - Claims</p> <p>This record series contains information regarding employee disability claims. The office of record is Payroll.</p>	End of Disability + 6 yrs		Shred	470301
<p>Health Insurance</p> <p>This record series contains information regarding employees health insurance applications. The office of record is Payroll.</p>	Active + 3 yrs		Shred	470101
<p>Liability Insurance</p> <p>This record series contains liability policies. The office of record is Aviation, School of Medicine, and Safety and Environmental Health.</p>	Permanent		Shred	470202
<p>Personal Injury Claims - Adult (Non-employee)</p> <p>This record series contains information on liability claims involving adults, along with the billings, incident reports, and correspondence. The office of record is Safety and Environmental Health.</p>	Incident/Injury + 6 yrs		Shred	470302
<p>Personal Injury Claims - Minor (Non-employee)</p> <p>This record series contains information on liability claims involving minors, along with the billings, incident reports, and correspondence. The office of record is Safety and Environmental Health.</p>	Until Minor is age 19 or 6 yrs, whichever is longer		Shred	470303
<p>Professional Liability Insurance</p> <p>This record series contains information regarding professional liability policies, for physicians and residents, and other relevant information. The office of record is the School of Medicine.</p>	Permanent		Retain	470203
<p>Property Insurance Claims</p> <p>This record series contains information on property insurance, including claims documentation and correspondence. relating to property owned by the university. The office of record is Safety and Environmental Health.</p>	Date of Incident + 6 yrs		Recycle	470304
<p>Property Insurance Policies</p> <p>This record series contains property insurance policies for all insurable property interests. The office of Record is Safety and Environmental Health.</p>	Expiration + 6 yrs		Recycle	470204

Legal

Agreements

<p>Agreements</p> <p>This record series contains legal documents, correspondence, reports, etc. relating to negotiation, fulfillment, and termination of agreement to which the University is a party. Internal memos, notes, research and duplicate copies may also be a part of the record series, but shall be shred when the file is closed. Active ceases with termination or expiration of the agreement. Office of Record is requesting department.</p>	Active + 6 yrs	ACT+6	Recycle	300103
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Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<u>Compliance</u>				
Sales Tax Returns This record series contains information that documents sales tax collection for University services provided to other outside entities. Office of Record is the originating department.	CFY + 4 yrs	CFY+4	Recycle	012701
<u>Contract Administration</u>				
Contracts This record series contains legal documents, correspondence, and reports related to the negotiation, fulfillment and termination of a non-capital improvement. May include award letter/notice, proposal, correspondence, final reports, etc., and also may include game, sponsorship, Red Cross, flood and rental contracts. Internal memos, notes, research, and duplicate copies may also be a part of the record series, but shall be shred when the file is closed. This record series may also contain fellowships. Active ceases with termination or expiration of the contract. The office of record is originating department.	Active + 6 yrs	ACT+6	Recycle	300104
Leases See Purchasing - Leases				
<u>Copyrights</u>				
Copyright Records / General This record series contains general information on copyright laws, regulations, and any reference material related to copyrights. Office of Record is the library.	WA		Recycle	720104
Copyright Documents This record series contains copyright documents belonging to the institution. Includes documentation of registration and submittals to Library of Congress. The office of record is the Technology Transfer and Commercialization.	95 years		Recycle	501404
<u>General</u>				
Legal Opinions This record series contains documentation from legal counsel detailing facts which result in rules, policy, or administrative procedures. Internal memos, notes, research, and duplicate copies may also be a part of the record series, but shall be shred when the file is closed. Office of Record is requesting department.	Updated or Obsolete + 3 yrs		Recycle	500501
<u>Litigation / Grievances</u>				
Client Files-Legal Aid This record series contains client files held by the Clinical Education Program of UND's Law School. The office of record is Law School-Clinical Education Program.	Active + 6 yrs	CFY + 1 yr	Shred	500402
Grievances This record series contains records of all proceedings in the settlement of disputes between employer and employee. This also includes student grievances. This record series contains information relating to the filing of grievances on the campus by faculty, staff, and students. Internal memos, notes, research, and duplicate copies may also be a part of the record series, but shall be shred when the file is closed. Active ceases with the resolution of the grievance. Office of Record is final reviewing authority.	Active + 6 yrs	ACT+6	Shred	601301
Litigation Files This record series contains records related to threatened or asserted litigation or investigation. This series contains the official litigation file with any orders, pleadings, correspondence, and discovery related to litigation. The duplicate copies may also be part of the record series, but shall be shred when the file is closed. Active ceases with the resolution of the lawsuit. Office of Record is the Office of General Counsel.	Active + 6 yrs	ACT+6	Shred	500401
<u>Patents / Trademarks</u>				
Patent / Trademark Income / Expense / Inventor Share Payments This record series contains financial records indicating patent/trademark income and expenses, the documentation of inventor share payments or distribution of funds, and other related documentation or correspondence. Office of record is Technology Transfer and Communication.	While Active + 6 yrs		Recycle	501401

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Patent / Trademark Information This record series contains general information pertaining to patents/trademarks. May include guidelines and brochures concerning the patent process. Office of Record is the library.	WA		Recycle	720105
Patents / Trademarks Issued This records series contains issued patents/trademarks and related documentation. It may include contract awards, patent/trademark documents, patent agreements, progress reports, and any correspondence that provides a means of defense for a patent/trademark. Office of Record is originating department.	Active + 6 yrs		Recycle	501402
Patent / Trademark Applications This record series contains information that documents the application process for patents/trademarks. Included are applications, contract reviews, patent/trademark searches, evaluations, and other related documents and correspondence. (See administrative manual) Issued patents/trademarks are transferred to LEG 70-10. Office of record is originating department.	While Active + 6 yrs		Recycle	501403

Library Records

Certificate of Gift/Donor Records This record series contains information that documents the official donation of a tangible gift given to the university. The office of record is the CF Library.	CFY + 6 yrs	CFY+3	Archives	800210
Circulation Records This record series contains information that documents the borrowing of library materials by qualified patrons. This series may include the name of the borrower, the titles of materials borrowed, the due date, overdue information, and related correspondence and documentation. Office of Record is the originating library.	CFY + 3 yrs		Shred	800322
Collection Records This record series contains information that documents the acquisition or transfer of materials or information (e.g. digital). This series may include information on the collection itself, inventory lists, database reports, payment information, cancellation information and related correspondence and documentation concerning the collections. Office of Record is the originating library.	CFY + 6 yrs		Recycle	800323
Exhibit Records This record series contains information that documents the display and use of materials held by the library. This series includes advertisements for the exhibit, layout and design, photographs of the exhibit, exhibit ideas, and related documentation and correspondence about the exhibit. Office of Record is the originating library.	CY + 3 yrs		Recycle	800324
Inter-Library Loan Records This record series contains information that documents the borrowing/lending inter-library loan process for University materials. This series may include requests, borrower/lender approvals, transaction slips and related correspondence. Office of Record is the originating library.	CFY + 3 yrs		Recycle	800325

Patient

Medical Records

Drug and Alcohol Evaluations This record series contains the drug and alcohol evaluations that may be either court mandated, requested by students for counseling reasons, or for accident reports. This includes the Counseling Center's evaluations. The office of record is the requesting department.	CY + 7 yrs		Shred	190101
Narcotic Inventory This record series contains an inventory of all Federally controlled prescriptions. The office of record is Student Health Services.	CFY + 3 yrs		Shred	801101
Patient Medical Records This record series contains patient medical information. May include diagnosis, treatments, medications, doctor appointments, test results, X-Rays, X-Ray cards, patient histories, and patient charts. The office of record Student Health Services, School of Medicine, or the College of Nursing.	Until patient reaches age 19 or date of last treatment plus 6 years, whichever is longer.		Shred	190103
Prescriptions This record series contains the prescriptions received by the Student Health Pharmacy. The office of record is Student Health Services.	CY + 5 yrs		Shred	800314

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Student Health Reports This record series contains reports generated by student health containing statistical information and trends. This may include information on FAA Flight Physicals and X-Rays done by student health. This also includes the supporting and preparation documents such as the X-Ray ledger and other medical ledgers. The office of record is Student Health Services.	CY + 3 yrs		Shred	900206
Payroll				
Benefits See Personnel - Benefits				
Compensation Records This record series contains information that documents overtime hours earned for compensation purposes and comp. hours used or requested. Does not include overtime hours paid monetarily on the regular hourly reporting form. Office of record is the originating department.	CFY + 3 yrs	CFY+1	Shred	011622
Departmental Leave This record series contains a record that summarizes leave status and leave donations for each University employee by department. This also includes justification and documentation regarding donation of leave, leave reports, leave donation sheets, employee leave forms, and departmental leave reports. The office of record is Payroll.	CFY + 3 yrs	CFY+1	Shred	600706
Garnishments / Wage Levies / Child Support This record series contains information on amount of money deducted from paychecks in accordance with state and federal law. This includes court documents, notices from collection agencies, federal wages levies, university meal plan deductions, and Payroll Deducted Parking. The office of record is Payroll.	Active + 3 yrs		Shred	011623
Hourly Reporting Forms This record series contains a record of hours worked by hourly staff and student employees. This includes Time Slip Correction forms and Hourly Payroll Reporting Forms/ Time Cards. The office of records Payroll or the department with the original time cards. The office of record is Payroll.	CFY+10	CFY+1	Shred	600707
I-9 Forms This record series contains the employee's citizenship status and other personal information. The office of record is Payroll.	Termination + 3 yrs		Shred	600601
Payroll Records This record series contains records dealing with employee's paychecks, taxes, and other financial information. This includes notices of appointment and one time pays. The office of record is Payroll.	CFY + 10 yrs	CFY+1	Shred	011624
Payroll Reports This record series contains forms and reports dealing with worker's compensation, insurance, labor distribution, and similar reports and deductions. This also includes Payroll reconciliation reports, abstracts, banking reports, salary and fringe reports, flex benefits, and TIAA/CREF reporting. These reports are used by the office for administrative purposes only. The office of record is Payroll.	CFY + 5 yrs	CFY+1	Shred	011625
Student Employment Reports This record series contains various reports concerning student employees. This includes workstudy and institutional positions. These reports are only for student employees. Included in this series would be record of earnings reports. The office of record is Payroll.	CFY + 5 yrs	CFY+1	Shred	011626
Tax Reporting This record series contains W-2, W-4, and filings with state and federal tax authorities for social security withholding, worker's compensation, and unemployment. These reports are prepared and submitted to State and Federal Authorities. The office of record is Payroll.	CFY + 5 yrs		Shred	011627

Police / Traffic

Police / Citation Files / Adult This record series contains information on all infractions by adults cited by the police department. The office of record is University Police.	10 years after expiration of sentence or 5 years after case is closed		Recycle	750204
Police/Incident Reports This record series contains incident reports written by University police. Office of Record is University Police.	CY + 7 yrs		Recycle	750211

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Police / Juvenile Files This record series contains complaints which contain juvenile subjects and citation files in which the person cited was a juvenile. The office of record is University Police.	Until subject is 20 years old		Shred	750205
Police / Complaints / Adult This record series contains information on all complaints filed at the Police department including investigative and evidence information. The office of record is University Police.	10 years after expiration of sentence or 5 years after case is closed		Recycle	750206
Traffic / General This record series contains information on vehicles registered for any faculty, staff, or student parking on the campus of UND. This includes any parking tickets received and any tickets appealed. The office of record is Traffic.	CY + 1 yr		Recycle	750207
Traffic / Reports This record series contains reports pertaining to the traffic division of UND. This series includes parking meter reports. The office of record is Traffic.	CY + 3 yrs		Recycle	750208

Professional Development

Continuing Education Units (CEU's) This record series contains information on the different courses approved by Continuing Education. This may include applications, rosters, setup and approval forms, and a description of the CEU activities. The office of record is Continuing Education.	CFY + 3 yrs	CFY+3	Shred	020210
Continuing Medical Education (CME's) This record series contains information on the various professional development courses offered by the School of Medicine and Health Sciences. This includes attendance lists, general curriculum information, copies of billing information, and general information on the class. Requests for CME credits and verification. Office of record is the department the class or seminar is run through.	CFY + 6 yrs	CFY+6	Shred	020212
Non Credit Correspondence Courses This record series contains information on the different non credit courses approved by Continuing Education. This may include applications, grades, and other information on student taking the courses. The office of record is Continuing Education.	CFY + 3 yrs		Recycle	020421
Training Files-Third Party This record series contains on the various professional development courses offered to the surrounding area. This includes attendance lists, general curriculum information, copies of billing information, and general information on the class. The office of record is Workforce Development.	Active + 5 yrs		Recycle	020211
Transcripts This record series contains transcripts created by Continuing Education documenting the completion of professional development classes overseen by the Continuing Education Department. These are not for university credit. The office of record is Continuing Education.	Permanent		Retain	020422
Training-Employee This record series contains information on the various professional development courses offered by the university specifically for university staff and faculty. This includes sign up and completion lists and general information on the class. This does not include transcripts. The office of record is the department the class is run through.	CFY + 3 yrs		Recycle	350101

Public Relations

See Communications

Purchasing

General

Bids This record series contains requests for proposals and documentation related to bids submitted for prospective goods and services, including prime contracts. The office of record is Purchasing.	CFY + 10 yrs	CFY+1	Shred	300702
Leases This record series contains legal documents, correspondence, reports, etc. relating to negotiation, fulfillment, and termination of leases. It also includes leases entered into for goods and services. Office of Record is Purchasing.	Termination + 10 yrs		Recycle	300501

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<p>Purchase Orders</p> <p>This record series contains records of purchases requested or authorized by university departments. The office of record is Purchasing.</p>	CFY + 10 yrs	CFY+1	Shred	300105
Reference				
<p>Reference Material</p> <p>This record series contains information maintained for reference purposes only.</p>	While Active	While Active	Recycle	720106
Safety				
<u>General</u>				
<p>Designated Medical Provider (DMP) Forms</p> <p>This series contains forms completed by employees designating their choice of medical provider, should a work-related injury occur. Superseded occurs when an employee updates their designated medical provider. Active ceases with the termination of employment. The Office of Record is the Safety and Environmental Health Office.</p>	SUP or ACT+1yr	SUP	Shred	750411
<p>Employee Exposure File</p> <p>This series contains records and reports of employee exposure to hazardous materials, chemicals or harmful physical agents. Includes incident reports, investigation files, medical surveillance, treatment and related records. The office of record is Safety.</p>	Termination + 30 yrs		Shred	750102
<p>Incident Reports - Employees</p> <p>This series contains records and reports of accidents or incidents incurred by an employee of the University, as well as any follow-up investigation documentation. This does not include formal claims made against the University. If formal claim is made, transfer records to the Workers Compensation Claim Files (470305). The office of record is the Safety and Environmental Health Office.</p>	CFY + 6 yrs	CFY+1	Shred	750101
<p>General Safety Information</p> <p>This record series contains information related to safety issues. The office of record is Safety.</p>	CFY + 3 yrs		Recycle	750401
<p>Hazardous Waste Forms</p> <p>This record series contains documents the request to pick up and/or dispose of hazardous waste. It also tracks the movement of chemicals and wastes coming into and going out of the university. The office of record is Safety.</p>	Permanent	3	Retain	750402
<p>Incident Reports - Non-Employees</p> <p>This record series contains reports any accidents or incidents incurred by non-employees or visitors, as well as any follow-up investigation documentation. This does not include formal claims made against the University. If a form claim is made, transfer records to the Litigation Files record series (500401). The office of record is the Safety and Environmental Health Office.</p>	CFY + 6 yrs	CFY+1	Shred	750404
<p>Material Safety Data Sheets (MSDS)</p> <p>This record series contains information and safe handling procedures for toxic and/or hazardous chemicals. Superseded MSDS sheets may be recycled if the changes to the MSDS sheets are of administrative in nature and the chemical properties of the substance have not been changed. The office of record is Safety and Environmental Health.</p>	ACT+30 yrs	SUP	Recycle	750405
<p>Medical Surveillance Records</p> <p>This record series contains documentation on the University's respiratory protection and medical surveillance programs. Active ceases with the termination of employment. The office of record is the Safety and Environmental Health Office.</p>	ACT+30 yrs	ACT	Shred	750408
<p>Preventative Ergonomics Files</p> <p>This series contains information that documents the assistance given to employees to prevent repetitive musculoskeletal injuries. Records typically include, but are not limited to, ergonomic worksheets; changes made at the time of assessment; recommendations; and other related correspondence. If this file becomes a workers compensation claim, transfer to the Workers Compensation Claim File record series (470305). Active ceases with the termination of employment. The Office of Record is the Safety and Environmental Health Office.</p>	ACT + 1 yr	CFY+1	Shred	750410
<p>Radioactive Materials Records</p> <p>This record series contains information on radiation and radioactive materials and any research done with them. This includes research files, sealed and open sources of radiation, and disposal files. The office of record is Safety.</p>	Termination of License		ND Health Dept.	750403

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<p>Safety Inspection - Fire Protection</p> <p>This series contains records relating to fire inspections, testing of fire extinguishers, inspection of fire suppression systems and records of fire drills conducted on University grounds or facilities. Includes mitigation records of deficiencies. Office of record is Safety. NOTE: for fire alarms see Incident Records/Claims Management Records.</p>	Current Year + 3 years or Obsolete, whichever is longer		Recycle	750302
<p>Safety Inspection - Sampling and Hazardous Materials</p> <p>This record series contains information that documents University safety inspections. This series may include inspection records concerning asbestos, environmental regulations, X- Ray registration, and survey meters. The office of record is Safety.</p>	Updated or Obsolete	CFY + 1	Recycle	750301
<p>Workers Compensation Claim Files</p> <p>This series contains information which documents claims made by employees under Workers Compensation Insurance. Records typically include, but are not limited to, a copy of the initial Incident Report, a copy of the Worker's Claim for Injury (Form C-2), the Employer's Report of Injury (Form C-2), the Doctor's Report of Injury (Form C-3), the Prior Injury Questionnaire (Form C-16) when indicated, workability updates, dismissal statement when appropriate, and other related correspondence. Active ceases with the termination of employment or the end of permanent disability, whichever occurs later. The Office of Record is the Safety and Environmental Health Office. (NOTE: The North Dakota's Workforce Safety and Insurance Department officially manages all Workers Compensation Claim files permanently.)</p>	ACT + 6 yrs	CFY+3	Shred	470305
Training				
<p>Employee Training File</p> <p>This series contains records and information relating to, and documenting, safety training and certifications received by an employee of the University. The office of record is Safety.</p>	Termination + 30 yrs		Recycle	750406
<p>Training Materials</p> <p>This series contains information and materials of safety or environmental training developed or provided by the University. May include course listings, schedules, training program materials, administrative records, sign-in sheets and reference materials. Includes classes for lead, asbestos, hazardous wastes/materials, defensive driving and others. The office of record is Safety or Environmental Training Institute.</p>	Updated or Obsolete		Recycle	750407
School of Medicine and Health Sciences				
<p>Academic Records - Medical Student</p> <p>This record series contains correspondence, applications, transcripts, equivalency diplomas, residency affidavits, withdrawals, for students accepted to the School of Medicine. Active ceases with graduation or last date of attendance. The office of record is the School of Medicine.</p>	Permanent	ACT + 6 yrs	Retain	020411
<p>Accreditation Records - School of Medicine and Health Sciences</p> <p>This record series contains information that documents the process and status of becoming accredited and/or activities associated with reporting and/or confirming the accreditation status of the School of Medicine and Health Sciences. Includes self-study records, response letters, letters of re-accreditation, etc. Active ceases when letter of accreditation is received.</p>	Active + 8 yrs	CFY + 1 yr	Archives	020705
<p>Accreditation Supporting Documents-School of Medicine and Health Sciences</p> <p>This record series contains documents supporting the status of becoming accredited and/or activities associated with the confirming the accreditation status of the School of Medicine and Health Sciences. Active ceases when letter of accreditation is received.</p>	Active + 8 yrs	CFY + 1 yr	Shred	020706
<p>Animal Inventory</p> <p>This record series contains records that document daily counts of animals. The office of record is the Center for Biomedical Research. Considered source documents for billing purposes.</p>	CFY + 10 yrs	CFY+10 yrs	Recycle	011208
<p>Animal Protocols</p> <p>This record series contains documents related to research projects involving animals. This record series may include title of the project, name of the principal investigator, and funding agency. Animal protocol proposals and proposed significant changes need to be retained for the duration of the animal activity plus an additional 3 years. Denied proposals must be retained for 3 years. Active ceases with the completion of the animal activity. The office of record is the Center for Biomedical Research.</p>	Active + 3 yrs	ACT + 3 yrs	Shred	800327
<p>Annual Reports-School of Medicine and Health Sciences</p> <p>This record series contains a summary of department, university, or division activities by year.</p>	CFY+10 yrs	CFY + 1 yr	Archives	900209

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Autopsy Case Files This record series contains Death Investigation Worksheet, Autopsy Form, Body and Personal Property Release Form, Morgue Admission Form, Body Diagrams, Request for Autopsy, Toxicology Requests and Reports, Autopsy Reports, Police Reports, Medical Records, Certificate of Death, Identification Photo, Investigation Worksheet/Log, DNA Blood Stain Card Collection Kit, and X-rays.	Permanent		Retain Confidential	190108
Biographical Records This record series contains biographical data for institutional faculty, staff, and other significant people. The records are used for public information releases and referenced by the institutional staff to provide responses to inquiries. This series may include but is not limited to: biographical sketches, vitae, photographs, personal history sheets, newspaper clippings, retirement notices, and obituaries. Active ceases when no longer needed administratively. The office of record is the originating department.	ACT + 3 yrs		Archives	260103
Canceled Bequests This record series contains donor bequeathal forms that have been canceled. The office of record is the School of Medicine and Health Sciences.	CFY + 3 yrs		Shred	020213
Cremains Processed This record series contains correspondence related to the cremation of a donor. The office of record is the School of Medicine and Health Sciences.	CFY + 6 yrs		Shred	020214
Donor Files This record series contains bequeathal forms and cadaver information for people who have donated their bodies to the School of Medicine and Health Sciences. The office of record is the School of Medicine and Health Sciences.	Permanent		Retain Confidential	020215
Faculty Recruitment This record series contains information on applicants applying or being recruited for a faculty position. This file may include vitae information, letters of recommendation or support, interview documentation, and other related correspondence. If hired, transfer records to 600602, Faculty Personnel Files. The office of record is the hiring department.	CFY + 3 yrs	CFY + 1 yr	Shred	600207
General Inquiries This record series contains general correspondence/information requested about the Deeded Body Program.	CFY + 3 yrs		Shred	020216
Gifts/Donations-School of Medicine and Health Sciences This record series documents the potential or realized private or corporate funding to the Alumni Association for the benefit of the School of Medicine and Health Sciences. This record series may include award guidelines; letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates; scholarship information; and related documentation, reports, and correspondence.	Permanent	CFY + 1 yr	Archives	011012
Health Insurance This record series contains information regarding residents' health insurance. The Office of Record is the School of Medicine and Health Sciences.	CFY + 6 yrs	CFY+1 yr	Recycle	470102
Interment Services This record series contains the supporting documentation for the interment service. May include the date, time, list of donors to be interred, and all documents related to the planning of this service.	CFY + 6 yrs		Shred	020217
Internal Reviews for Residency Programs This record series contains documents reviewing the residency programs for accreditation and/or activities associated with confirming the accreditation status of the school. The office of record is the School of Medicine and Health Sciences. Active ceases when letter of accreditation is received.	Active + 8 yrs	CFY + 1 yr	Shred	020702
Medical Student Admission Applications This record series contains applications from prospective medical students, correspondence with applicants, working papers, and any other materials concerning the application process. If applicant is selected, move to Medical Students (020109).	CFY + 3 yrs	CFY + 3 yrs	Shred	020109
National Board Exam Records This record series contains national board exams, correspondence, and results. The office of record is the School of Medicine.	CFY + 10 yrs	CFY + 10 yrs	Shred	020605
Post / Graduate Resident Records This record series contains a record of accepted applicants to a resident program. This series includes application material, awards, evaluations, and correspondence. Active ceases with the completion of the residency or last date of attendance. University of North Dakota due process procedures for residents. The office of record is the School of Medicine.	Active + 6 yrs	ACT + 6 yrs	Shred	020401

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<p>Post - Graduate Resident Applications</p> <p>This record series contains applications from prospective residents, correspondence, requests for information, letter of reference, working papers, and any other materials concerning the application. If applicant is selected for residency program, transfer record to PER 95-15. The office of record is the School of Medicine.</p>	CY + 3 yrs	CFY + 1 yr	Shred	020101
<p>Reports-Financial-School of Medicine and Health Sciences</p> <p>This record series contains documents that provide a record of financial transactions for the School of Medicine and Health Sciences.</p>	CFY+10 yrs	CFY+1	Recycle	011013
<p>Program Evaluations-School of Medicine and Health Sciences</p> <p>This record series contains evaluations of each undergraduate and graduate academic program for the School of Medicine and Health Sciences. Active ceases after evaluation is completed.</p>	Active + 8 yrs	CFY+1	Archives	020707
<p>Resident Billing Records</p> <p>This series contains records that document the billing process and backup information used to calculate the quarterly invoice for residents. It may include detailed information such as name of resident, social security number, number of duty days completed during the month, the daily charge for each, the total amount being charged for each house staff member, and the total charge. The office of record is the SMHS-Administration & Finance and/or Grants and Contracts Administration. For the Veterans Administration (VA) residency program, the VA is responsible for maintaining the original timekeeper documentation for the resident billing purposes.</p>	CFY + 10 yrs	CFY + 10 yrs	Shred	011815
<p>Resident Guidelines and Policies</p> <p>This record series contains a record of established policies, procedures, and guidelines concerning medical post-graduate residents. Active ceases when the guidelines and policies have been superseded. The office of record is the School of Medicine.</p>	ACT + 3 yrs	SUP	Recycle	650504
<p>Schedules</p> <p>This record series contains the campus rotation records for the 3rd and 4th year medical students. The Office of Record is the School of Medicine and Health Sciences.</p>	CFY + 3 yrs	CFY+ 3 yrs	Recycle	020423
<p>Staff Applications</p> <p>This record series contains information on applicants screened for a job at UND. It may include resumes, application forms, letters of introduction, interview documentation, etc. If hired, transfer records to 600604, Staff Personnel Files. The office of record is Human Resources.</p>	CFY + 3 yrs	CFY + 1 yr	Shred	600205
<p>Student Applications</p> <p>This record series contains applications for student employment. This file may include applications, related correspondence, and interview documentation. If hired, transfer records to 600605 Student Employment Records. If not hired, leave in this series until retention period has been met. The office of record is the department employing the student.</p>	CFY + 3 yrs	CFY + 1 yr	Shred	600206
<p>Student-Financial Aid Records</p> <p>This series contains records of the medical student's financial information in accordance with their attendance at the School of Medicine and Health Sciences. This may include program of study, enrollment status and duration, award letters, applications for financial aid, and admission records. Active ceases with graduation or last date of attendance. The office of records is SMHS Student Affairs and Admissions and Financial Aid.</p>	ACT + 5 years	ACT + 5 yrs	Shred	020307
<p>Student Tracking Records-INMED</p> <p>This series contains records for Indian health career students throughout pre-college, college, and professional school levels. It consists of correspondence, applications, transcripts, and other academic and personal information pertinent to this education program used for administrative purposes. This is not the official academic record. Active ceases with first professional placement or death of participant. The Office of Record is the School for Medicine and Health Sciences INMED (Indians Into Medicine).</p>	ACT + 3 yrs	ACT+ 3	Shred	020429

Security

<p>Computer System Access Requests</p> <p>This record series contains information on the passwords and user ids given to University personnel for use on the computer systems that have access to confidential information. This includes Computer Center Security Forms. The office of record is the Computer Center and the security officers for the campus.</p>	Termination of Employment + 4 yrs	ACT+3	Shred	750209
<p>Network, Server, and Application Access Logs</p> <p>This record series contains information related to security of Information Technology (IT) systems. These records are maintained for the sole purpose of maintaining the security of the IT systems. The office of record is the system or network administrator for each IT system.</p>	60 Days		Delete/Shred	750212

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<p>Passwords / Telephone</p> <p>This record series contains information on the authorization codes given to university personnel for use in making long distance phone calls. This also includes student's code information. Office of Record is Telecommunications.</p>	CFY + 3 yrs		Shred	750210
Students				
<u>Academic</u>				
<p>Academic Records-Undergraduate</p> <p>This record series contains information on student academic history. This may include transcripts, applications for admission, letters of recommendation, receipts for application fee, petitions, name and social security number changes, dismissal and reinstatement records, incomplete, correspondence, student death records, withdrawals, and other information relating to a student's academic standing. This also includes student files pertaining to Continuing Education Programs taken for university credit such as, Extended Degree, Extension, and credit correspondence classes. The office of record is the Office of the Registrar and/or the College from which the student is obtaining a degree.</p>	Permanent	CAY + 3	Retain	020425
<p>Academic Records - Graduate</p> <p>This record series contains information on student academic history. This may include transcripts, applications for admission, letters of recommendation, receipts for application fee, petitions, name and social security number changes, dismissal and reinstatement records, incomplete, correspondence, student death records, withdrawals, and other information relating to a student's academic standing. This also includes student files pertaining to Continuing Education Programs taken for university credit such as, Extended Degree, Extension. The office of record is the Office of the Registrar, Graduate School and/or the College from which the student is obtaining a degree.</p>	Permanent		Retain	020410
<p>Academic Records - Law School</p> <p>This record series contains correspondence, applications, transcripts, equivalency diplomas, residency affidavits, withdrawals, for students accepted to the Law School. The office of record is the Law School.</p>	Permanent		Retain	020601
<p>Admission Applications (No Money)</p> <p>This record series contains applications received over the internet or mailed without the processing fee enclosed. If payment is received, move to Admission Applications-University. If not, keep until retention is met. The office of record is Admissions.</p>	CFY + 1 yr		Shred	020102
<p>Admission Applications (University)</p> <p>This record series contains the applications prospective students fill out in order to attend the University. If accepted, move to Student Academic Records. If not accepted, keep until retention is met. The office of record is Admissions.</p>	CFY + 3 yrs		Shred	020103
<p>Advisement</p> <p>This record series contains information on students academic files. This may include copies of high school and college transcripts, advisement meeting notes, master time table, dean's list information, and other things relating to the student's academic standing. The office of record is the advising department within the individual college.</p>	Active + 5 yrs		Shred	020402
<p>Exams / Homework / Papers / Projects</p> <p>This record series contains records of the course work done by any students. This includes independent study grades, internship grades, term papers, homework, quizzes, tests, and minor projects. * Student's work may be kept and moved to record series CUR10-50 for teacher's use but must not contain grades given. The office of record is the instructor and or department.</p>	CY + 1 yr		Shred	020403
<p>Graduate Admission Applications</p> <p>This record series contains correspondence, applications, transcripts, equivalency diploma, residency affidavit, and re-admission forms of students. If accepted, move to Graduate Students (020410).</p>	CFY + 3 yrs		Shred	020108
<p>National Student Loan Clearinghouse</p> <p>This record series contains a report stating the academic enrollment status of students. The office of record is the Office of the Registrar.</p>	CFY + 3 yrs		Shred	020301
<u>Financial Aid</u>				
<p>Disbursement Records</p> <p>This record series contains signatures of students who have received financial aid disbursements, scholarship checks, and other credits to student's accounts from the Business Office. This includes the form signed to authorize checks to be mailed to the student. The office of record is the Business Office.</p>	CFY + 3 yrs		Shred	020302

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Financial Aid Records This record series contains records of the students financial information in accordance with their attendance at the university. This may include program of study, enrollment status and duration, award letters, applications for financial aid, and admission records. The office of record is Student Financial Aid.	End of Award Period + 4 yrs		Shred	020303
Financial Aid / Reports This record series contains the Student Financial Aid Office reports. This may include operations reports and grant and scholarship reports. The office of record is Student Financial Aid.	End of Award Period + 4 yrs		Shred	020304
Promissory Notes This record series contains students promissory notes from federal, state, and university loans. The office of record is the Business Office.	Final Payment + 3 yrs		Shred	020305
General				
Career Counseling This record series contains information about the career counseling of students. This is for academic or career counseling only. The office of record is Counseling Center.	CFY + 7 yrs	CFY + 1 yr	Shred	020404
Counseling Client Files This record series contains information on personal history, case notes, release information, intake assessments, and record of any contact that is made with the client. This does not include any academic counseling. The office of record is Counseling Center.	CFY + 7 yrs		Shred	020406
Course Evaluations See Administrative Section (ADM)				
Disability Files This record series contains student disability documentation. This may include requests for accommodation, correspondence, and notes from meetings with disabled students. The office of record is Disability Support Services.	Active + 3 yrs		Shred	020414
General Credential or Co-op File This record series contains information on the methods students use to market themselves to future employers. This may include resumes, unofficial transcripts, release forms, information cards, and online homework assignments for students registered at Career Services. Active ceases with graduation or last date of attendance. The office of record is Career Services.	Active + 6 yrs	ACT+6	Shred	020413
Grade Book (Class Record) This record series contains a record of grades, kept by the professor, received by each student in an academic course. This includes both electronic and paper varieties. The office of record is the course's instructor.	CY + 5 yrs		Shred	020602
Grade Report Forms This record series contains grade sheets used to record grades for each University student. This includes all students taking courses for credit. The office of record is the Office of the Registrar.	Permanent	Comp of course + 1 CY	Retain	020603
Honors / Awards This record series contains a historical record of any honors and/or awards given to students. The office of record is the department giving the award.	CY + 3 yrs		Archives	260101
International Student Files This record series contains information on all international students. This may include I-20's and other immigration information. The office of record is the International Center.	Active + 8 yrs		Shred	020407
Judicial Records This record series contains information on students who violate the Code of Student Life. This may include incident reports from the UPD, crisis calls, supporting documentation for student hearings, housing violations of students who are not contracted to university housing, and copies of all correspondence regarding the violations. Active ceases when the matter has been resolved. The office of record is the Dean of Students Office, the Student Relations Committee/Vice-President for Student and Outreach Services.	ACT + 6 yrs	ACT+6	Shred	020408
Learning Center Client Files This record series contains information on individuals who come to the University Learning Center for assistance (tutoring, assessment tests, etc.) The file may include the ULC's Basic Information Form, session notes, and other material as it pertains to the individual's needs. Active ceases with graduation or last date of attendance. The office of record is the University Learning Center.	Active + 5 yrs	ACT+5	Shred	020427
Letters of Reference This record series contains letters of reference written for students at the University. The office of record is the office of the individual writing the letter.	Obsolete		Shred	450103

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
Medical Records (Nursing) This record series contains immunizations (immunity) for Measles, Mumps, Rubella, Chickenpox, and Hepatitis B. It also contains documentation to tests for Tuberculosis (TB), certifications as Nursing Assistant and CPR, licensure as an LPN or RN, and health insurance. The office of record is the College of Nursing.	ACT + 7 yrs		Shred	190102
Nursing Incident Exposure/Vairance Reports This record series contains incident reports for Nursing students which may be a medication error, exposure to bloodborne pathogens, a client injury, or a deviation from quality care. The office of record is the College of Nursing.	Until injured party reaches age 19 or date of incident plus 6 years, whichever is longer.		Shred	900208
ROTC Cadet Files - DA 201 This record series contains information related to a cadet enrolled in the Army ROTC program. Documentation may include DoD Enlisted Documents, DA 597/597-3 ROTC contracts, SGLV 8286 (lie insurance forms), Orders, DD 93, ROTC CC 137/136, Physical Fitness cards, Cadet Command Form 139-R, DA 3449-9 Medical Record containing DD 2005 (Privacy Act Statement), Report of Medical Examination, Report of Medical History, and any other pertinent information. (Active ceases with graduation or disenrollment from the ROTC Program.)	Active + 4 yrs	ACT+4	Shred	020428
Record of Co-Curricular Activities This record series contains information on Co-Curricular Activities. This includes co-curricular transcripts. The office of record is the Memorial Union.	Active + 1 yr		Shred	020405
Release of Information This record series contains documentation allowing the university to release student information to a third party. This may include disciplinary, financial, or academic records, along with any other information specified by the particular form signed by the student. The office of record is department supplying the information.	CY + 1 yr		Shred	020415
Requests for Information This record series contains general inquiry requests such as enrollment and grade verifications and general information on individual academic departments. The office of record is the department answering the request.	CY + 1 yr		Shred	450104
Residency Application This record series contains residency applications from students in order to calculate tuition rates. The office of record is the Business Office.	CFY + 3 yrs		Shred	012203
Satisfactory Progress for Financial Aid Eligibility This record series contains information on students who fail to meet the criteria to receive Federal financial assistance. This may include student letters of appeals; letters and worksheets from Student Financial Aid Office; and decision of Appeals Board (i.e. meeting minutes and letter to student). The office of record is the Vice-President for Student and Outreach Services Office.	CFY + 5 yrs	CFY + 5 yrs	Shred	020308
Special Circumstances This record series contains information on decisions made by the Dean of Students on students' special circumstances cases. This may include withdrawals after deadlines, exceptions to the refund schedule, notes from personal meetings, medical documentation, legal information, and the final decision. The office of record is the Dean of Students.	CAY + 7 yrs		Shred	020416
Student Evaluations / Professional This record series contains faculty evaluations of medical students, physician's assistants, residents, and those professional type students that require a longer retention period. Active ceases with graduation or last date of attendance. The office of record is the originating department.	ACT + 6 yrs		Shred	020424
Student Teacher (Credential) File This series contains the evaluations of UND students that participated in student teaching. This may include teacher evaluations, certifications, and letters of reference. Active ceases with the last update to the file (update may include adding new letters of reference, adding unofficial transcripts, updating personal data, or having the file sent to a prospective employer or graduate school admissions committee). The office of record is Career Services.	Active + 25 yrs	ACT+25	Shred	020426
Study Abroad Student Files This record series contains information on all of the students from UND studying at universities in other countries. The office of record is the International Center.	CAY + 5 yrs		Shred	020417
Summary Reports This record series contains reports pertaining to the academic situations of students. This series may include Admission Status reports. The office of record is the Office of the Registrar.	Updated or Obsolete		Archives	020418
Veteran's Files This record series contains information on the different students receiving Military benefits through their attendance at the university. The office of record is Veteran's Affairs.	Active + 3 yrs		Shred	800316

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<u>Housing</u>				
Housing				
This record series contains information regarding student's on campus housing. This may include applications for housing, refrigerator and loft contracts, linen and key forms, meal plan contracts, payment verification, and information on room's condition before and after occupancy. The office of record is Housing.	ACT + 6 yrs		Shred	800317
Housing Applications (No ID Number Not Admitted to UND)				
This record series contains the applications prospective students fill out in order to live in university housing. If accepted, move to Housing Records (800317). If not accepted, keep until retention is met. The office of record is Housing.	CFY + 3 yrs		Shred	800330
Housing Application (NO Money)				
This record series contains applications received over the internet or mailed without the processing fee enclosed. If payment is received, move to House Record (800317). If not, keep until retention is met. The office of record is Housing.	CFY + 1 yr	CFY + 1 yr	Shred	800329
Conduct Records				
This record series contains reports of student violations of the Code of Student Life while in on campus housing. If the student in violation does not live on campus, see Judicial Records (STU). The office of record is Housing.	End of Sanction + 1 yr		Shred	800318
<u>Graduate</u>				
Graduate File				
This record series contains information on all past graduate students who have attended the University. Includes graduate cards maintained by University departments. Office of record is the Graduate School.	CY + 35 yrs		Shred	800319
Non-Degree Student Files				
This record series contains information on students taking graduate classes but are not enrolled in a graduate school program. The office of record is the Graduate School.	Active + 5 yrs		Shred	800320
<u>Recruitment</u>				
Athletics				
This record series contains information on prospective athletic students and for what sports they are being recruited. This may include high school transcripts, test scores, etc. The office of record is Athletics.	CY + 1 yr		Shred	020502
Visit Cards				
This record series contains information on prospective students that have visited the University. The office of record is Enrollment Services.	CY + 1 yr		Recycle	020503
Career Service Employer Files				
This record series contains job descriptions, Equal Employment Opportunity statement, and correspondence with companies advertising or recruiting through career Services. The office of record is Career Services or the Law School Career Services.	Superseded + 3 yrs		Recycle	800321
<u>Testing</u>				
GED				
This record series contains GED tests for everyone who has taken it at UND. This includes scores. The office of record is the Counseling Center's Testing Services.	CY + 5 yrs		Shred	020604
Nelson Denny Reading Test				
This record series contains information on individuals who have taken the Nelson-Denny Reading Test, which is used in the assessment of student ability in three areas: vocabulary, reading comprehension, and reading rate. This may include the test material and version taken and the answer sheets completed by each individual. Active ceases with graduation or last date of attendance. The office of record is the University Learning Center.	Active + 1 yr	CFY	Shred	020610
Standardized / Academic				
This record series contains information on people who have taken these academic standardized tests. This includes test rosters, administrative paperwork, and the version taken. The office of record is the Counseling Center.	CY + 1 yr		Shred	020606
Standardized / Psychological				
This record series contains information on the people who have taken these standardized tests. This includes test rosters, administrative paperwork, and the version taken. The office of record is the Counseling Center.	CY + 5 yrs		Shred	020607
Test Roster				
This record series contains a listing of students and the tests they have taken, when, and what version. The office of record is the Counseling Center.	CY + 10 yrs		Shred	020608

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number
<p>TOEFL Tests</p> <p>This record series contains tests of international students demonstrating their proficiency in English. If student enrolls in the university, move record to admission application (University) If not, keep until retention is met. The office of record is Admissions.</p>	CY + 3 yrs		Shred	020609
<p>TRIO (Upward Bound grant year is June 1 to May 30) (Talent Search and Student Support Services' Grant year is September 1 to August 31) (CGY = Current Grant Year)</p>				
<p>Upward Bound Participant Files</p> <p>This record series contains information on all participants of the program. This may include applications, health records, academic records, progress reports, evaluations, signed permission slips, activity slips and standardized tests. The office of record is TRIO.</p>	Active + 6 yrs		Shred	020104
<p>Upward Bound USDA Forms</p> <p>This record series contains information on students with reduced meal costs during their camp or workshop. The office of record is TRIO.</p>	CY + 8 yrs		Shred	020306
<p>Talent Search Participant Files</p> <p>This record series contains certification of qualifications, records of services provided, and recommendations. The office of record is TRIO.</p>	Active + 6 yrs		Shred	020504
<p>McNair Participant Files</p> <p>This record series contains information on all participants of the program. This may include applications, selection criteria, acceptance, notice of appointments, salary, student reports, evaluations, questionnaires, and other relevant information. The office of record is TRIO.</p>	Active + 6 yrs		Shred	020105
<p>Education Opportunity Center Participant Files</p> <p>This record series contains information on all the participants of the program. This may include intake forms, correspondence, notes from meetings, and test results. The office of record is TRIO.</p>	Active + 6 yrs		Shred	020106
<p>Student Support Services Participant Files</p> <p>This record series contains information on all the participants of the program. This may include signatures and notes verifying student's qualification for the program, and academic records. The office of record is TRIO.</p>	Active + 6 yrs		Shred	020107

Proposed October 29, 2008