

UNIVERSITY POLICY APPROVAL

Policy:

RECORDS RETENTION POLICY

The attached policy is hereby approved and effective on the date as specified.

Effective October 1, 2018



Dr. John Plotts
President
University of Dallas

RECORDS RETENTION AND DISPOSAL POLICY

- 1.0 Purpose** – The University of Dallas is committed to the systematic review, retention and destruction of records in order to meet legal standards, minimize the cost of records retention, optimize the use of space, and ensure that outdated and useless records are destroyed.
- 2.0 Scope** - This policy applies to all University records, whether maintained in hard copy (paper), electronic, or some other fashion. These guidelines apply to all records generated by employees and staff of the University of Dallas on both the Irving and Rome campuses.
- 3.0 Definitions** – The following definitions apply for the purpose of interpreting this policy.
 - 3.1 “Record”** refers to any type of record created or received in the course of University business, including but not limited to, paper, email, any type of electronic file or data, still photographs, motion pictures, drawings, plans/blueprints, and audio/video recordings, etc.
 - 3.2 “Personal Information”** refers to information in a Record including an individual’s name, social security number, driver’s license number or other governmental identification card number; financial account number; credit or debit card number, or any number or code which may be used alone or in conjunction with another piece of information to assume the identity of another person, to access material resources, or obtain credit information. Personal information is highly sensitive and must be safeguarded and secured at all times.
- 4.0 Retention of Records** – University Records should be retained according to the Records Retention Schedule which lists the different types of University Records and the length of time that those Records must be retained. Documents that are not listed specifically on the records retention schedule, but that are substantially similar to those listed on the schedule should be retained for the relevant period of time.
 - 4.1** All records pertaining to ongoing or pending audits or lawsuits (including reasonably anticipated lawsuits) should not be destroyed, damaged or altered, even if the records retention date has expired, until the matter has been resolved and the keeper of the record has been specifically advised in writing by the General Counsel that such Records may be destroyed.
 - 4.2** Electronic documents, including emails, will be retained as if they are paper documents.

5.0 Disposal of Records – Records should be destroyed or recycled once the records retention period has expired if the Record is not appropriate for the University archives.

5.1 Disposal of Records without Personal Information may be accomplished by any convenient means including recycling of paper records, deleting of electronic records or physical destruction of records.

5.2 Disposal of Records including Personal Information requires special consideration and reasonable actions to destroy personal identifying information including shredding the records, destroying the personally identifiable information contained in the record or modifying the record to make the personally identifiable information unreadable.

RECORDS RETENTION SCHEDULE

FINANCIAL RECORDS:

Banking Records, Accounts Payable and Accounts Receivable Records – These Records document banking transactions as well as a department or office's expenditures and purchases and billing and collection activities.

	Record Holder	Retention Period	Disposition
Official Copy	Business Office	7 yrs	Confidential
Unofficial Copy	All other Departments and Offices	2 yrs	Confidential

Budget Records – These Records document departmental fiscal activity presented in summary form.

	Record Holder	Retention Period	Disposition
Official Copy	Business Office	7 yrs	Confidential
Unofficial Copy	All other Departments and Offices	2 yrs	Confidential

Financial Statements and Reports – These Records include annual certified and uncertified financial statements and reports.

	Record Holder	Retention Period	Disposition
Official Copy	Business Office	Permanent	Archive
Unofficial Copy	N/A	N/A	N/A

Investment Records – These Records include stocks, bonds, futures and all other investments.

	Record Holder	Retention Period	Disposition
Official Copy	Business Office	Endowment Fund Reports – Permanent; Monthly Fund Reports – 1 year; All other Records – Life of Investment + 5 yrs	Confidential
Unofficial Copy	N/A	N/A	N/A

Tax Records – These Records include all tax filings and returns.

	Record Holder	Retention Period	Disposition
Official Copy	Business Office	7 yrs	Confidential
Unofficial Copy	N/A	N/A	N/A

Audit Reports – These Records include the reviews, findings and recommendations of external auditors.

	Record Holder	Retention Period	Disposition
Official Copy	Business Office	Permanent	Archive
Unofficial Copy	N/A	N/A	N/A

Debt Financing – These Records document the financing, scheduling and repayment of University debt.

	Record Holder	Retention Period	Disposition
Official Copy	Business Office	20 yrs following date of final payment	Confidential
Unofficial Copy	N/A	N/A	N/A

Warranty Records – These Records include warranty information and purchase orders with contractual terms.

	Record Holder	Retention Period	Disposition
Official Copy	Business Office	7 yrs after date of purchase or 7 years following end of warranty, whichever is longer	Confidential
Unofficial Copy	N/A	N/A	N/A

STUDENT RECORDS

Matriculated Student Records – These Records document the academic progress of matriculated students.

	Record Holder	Retention Period	Disposition
Official Copy	Registrar	Final Transcript – Permanent; All other materials- 5 years from date of graduation or last date of attendance.	Final transcript – Archives; All others – confidential destruction
Unofficial Copy	Academic and Student Life Offices	5 years from date of graduation or last date of attendance	Confidential destruction

Non-Matriculated Student Records – These Records provide documentation of students denied entry into degree or certificate programs or who have been admitted but who have not enrolled.

	Record Holder	Retention Period	Disposition
Official Copy	Admissions Office	3 years	Confidential destruction
Unofficial Copy	N/A	N/A	N/A

Student Financial Aid Records – These Records show evidence of providing and receipt of financial aid, including applications, federal aid forms, tax forms, award letters and confirmations, verification records, scholarships, fellowships and awards.

	Record Holder	Retention Period	Disposition
Official Copy	Financial Aid Office	7 yrs from graduation or last date of attendance	Confidential destruction
Unofficial Copy	N/A	N/A	N/A

Student Health Center Records – These Records include medical and mental health histories, clinic notes, immunization records and related materials.

	Record Holder	Retention Period	Disposition
Official Copy	Student Health Center or Counseling Office	10 years from date of last treatment	Confidential destruction
Unofficial Copy	N/A	N/A	N/A

Student Records, Residence Life and Student Activities – These Records may document residence life matters, conduct files, participation in student activities, athletics and related materials.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Student Life or Athletics Office	5 years from graduation or date of last enrollment	Confidential destruction
Unofficial Copy	All other departments	While active	Confidential destruction

Student Advising Records – These Records document student advising and may include academic program scheduling and advisor notes.

	Record Holder	Retention Period	Disposition
Official Copy	Faculty Advisor / Academic Departments	5 years from Graduation of Date of Last attendance	Confidential destruction
Unofficial Copy	N/A	N/A	N/A

EMPLOYMENT RECORDS

Employee Personnel Records – These records may include but are not limited to, job descriptions, correspondence, performance evaluations, I-9 Tax Forms and copies of identification documents and other personnel forms.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	7 years from date of employee separation	Confidential destruction
Unofficial Copy	All other departments	Date of employee separation	Confidential destruction

Staff Employment Search Records – These Records document the process to fill non-faculty positions and may include but are not limited to applications, resumes and letters of recommendation.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	3 years from close of search	Confidential destruction
Unofficial Copy	All other departments/offices	Close of search	Confidential destruction

Faculty Employment Search Records – These Records document the selection process for academic positions. It includes but is not limited to application; curriculum vitae or resumes; academic transcripts; writing samples; publications; candidate lists; position announcements, advertisements or descriptions; and related correspondence such as cover letters and reference letters.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	3 years from close of search	Confidential destruction
Unofficial Copy	All other departments / offices	Close of search	Confidential destruction

Faculty Tenure and Promotion Records – These Records document the periodic consideration of faculty who are eligible for changes in rank, tenure status and/or pay. These Records may include but are not limited to promotion and tenure dossiers compiled and presented by the faculty as well as other materials which are compiled and maintained for inclusion, analysis, and summarization into the dossier folders. These records may include but are not limited to candidate current position description; letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants and peers; student evaluation of faculty reports; committee signature sheets; committee findings;

recommendations of administrative superiors and related documentation and correspondence. These files should always be maintained physically separate from regular faculty personnel records.

	Record Holder	Retention Period	Disposition
Official Copy	Provosts Office	Permanent	Archive
Unofficial Copy	Committee members	As needed	Confidential destruction

Mid-Point Review Records – These Records document the mid-point review process for tenure track faculty positions. Materials may include letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants and peers; student evaluation of faculty reports; recommendations; and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Provost's office	Until tenure decision	Archive
Unofficial Copy	Committee members	As needed	Confidential destruction

Payroll Records – These Records include garnishment accounting and orders, payroll checks, payroll history, payroll records and payroll registers.

	Record Holder	Retention Period	Disposition
Official Copy	Payroll	7 years	Confidential destruction
Unofficial Copy	N/A	N/A	N/A

Timesheets – These Records document student and staff hours worked and may include time cards and time sheets including those submitted electronically.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	7 years	Confidential destruction
Unofficial Copy	Other departments / offices	2 years	Confidential destruction

Benefits Records – These Records document employee benefits contributions.

	Record Holder	Retention Period	Disposition
Official Copy	Payroll	30 years after the life of benefit	Confidential destruction
Unofficial Copy	N/A	N/A	N/A

Student Employment Records – These Records document student work history including work-study and/or regular departmental budgeted student employees.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	5 years	Confidential destruction
Unofficial Copy	All other departments / offices	1 year	Confidential destruction

ACADEMIC RECORDS

Accreditation and Program Review Records – These records document the any internal review of academic programs and the institutional accreditation process for UD.

	Record Holder	Retention Period	Disposition
Official Copy	Provost's Office, Dean's Office, Program Office	Permanent	Archive
Unofficial Copy	All other departments / offices	As needed	Confidential destruction

Course Bulletins and Catalogs – These publications document offered courses.

	Record Holder	Retention Period	Disposition
Official Copy	Office of the Registrar	Permanent	Archives
Unofficial Copy	All other Departments	As needed	Destruction

Class Schedules – These publications document schedules of classes and processes for scheduling.

	Record Holder	Retention Period	Disposition
Official Copy	Office of the Registrar and/or deans	Published Class Schedule – Permanent; Documents supporting class schedule creation – retain until no longer needed	Published class schedule – Archives; documents supporting schedule creation: confidential destruction
Unofficial Copy	All other Departments	As needed	Confidential destruction

Course Materials – These records include but are not limited to syllabi, course descriptions, course outlines, course summaries, lists of classes by term, bibliographies, reading lists, course announcements, handouts, materials and related documents.

	Record Holder	Retention Period	Disposition
Official Copy	Academic departments	Course descriptions and syllabi – Permanent; all other materials to be determined by departments	Course descriptions and syllabi – Archives
Unofficial Copy	All other departments / offices	As needed	Confidential destruction

Faculty Papers – These Records document the professional and scholarly activities of UD faculty members and may include published or unpublished papers, books and journal articles, conference presentations, and other work.

	Record Holder	Retention Period	Disposition
Official Copy	Faculty members, academic departments	Permanent	Archives
Unofficial Copy	All other departments / offices	As needed	Destruction

Theses, Dissertations, and Capstone Projects – These materials include final and accepted theses, doctoral dissertations and capstone projects.

	Record Holder	Retention Period	Disposition
Official Copy	College and/or academic departments	Undergraduate theses – to be determined by school; Masters theses and doctoral dissertations – Permanent; Capstone Projects – to be determined by College	Undergraduate theses - Confidential destruction; Masters Theses and Doctoral Dissertation: Archives; Capstone Projects – to be determined by school
Unofficial Copy	N/A	N/A	N/A

Student Work – These Records include tests, papers and projects.

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments	1 year	Confidential destruction
Unofficial Copy	N/A	N/A	N/A

Course Evaluations – These Records include evaluation forms completed by students. These may include individual evaluation forms or aggregation of data.

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments	7 years	Confidential destruction
Unofficial Copy	All other departments / offices	As needed	Confidential destruction

ADMINISTRATIVE RECORDS

Meeting Minutes and Agendas – These Records document the order of business and proceedings of meetings held by departments, offices and other entities. Copies held by meeting participants are for their personal use only and should be managed appropriately.

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments; Committee Chairs	Permanent	Archive
Unofficial Copy	All others	As needed	Confidential destruction

Reports – These records include periodic or special reports that document any activity of a project. Copies held for employee's personal reference should be managed appropriately.

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments; Committee Chairs	Permanent	Archive
Unofficial Copy	All others	As needed	Confidential destruction

Policies and Procedures – Policies and procedures document a department, office, program, school or the entire University's values, rules, activities and processes. Most departments and offices produce many copies of policies and procedures. Departments and offices should determine which copy is the official copy and manage it accordingly

	Record Holder	Retention Period	Disposition
Official Copy	Issuing Departments or offices	Permanent	Archive
Unofficial Copy	All others	As needed	Destruction

Project Records – These Records document the development and implementation of projects or major events. These records can include a broad assortment of materials that should be managed in accordance with their Record type (e.g. financial records, meeting minutes, policy proposals)

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments	Permanent	Archive

	and/or Committee Chairs		
Unofficial Copy	All others	As Needed	Destruction

Senior Administration Records – These Records document the functions, activities, and decision making practices of senior administrative officers, including the Office of the President, Vice Presidents, and Deans, and may include official memoranda, correspondence, policies and background materials.

	Record Holder	Retention Period	Disposition
Official Copy	Senior Administrative Offices	Permanent	Archives
Unofficial Copy	All others	As needed	Destruction

Board of Trustee Records – These records document the functions, activities, and decision making practices of the Board of trustees, and may include meeting agendas and minutes, correspondence, policies, and background materials

	Record Holder	Retention Period	Disposition
Official Copy	Vice President for Board Services	Permanent	Archive
Unofficial Copy	All others	As needed	Destruction

Event Records – These records document events and event planning. These records may include but are not limited to calendars, notes, vendor information and correspondence, event programs and publicity, attendance data, correspondence, and accounts payable records.

	Record Holder	Retention Period	Disposition
Official Copy	Sponsoring Departments or offices	Event Planning and Program Materials – Permanent; Event Administration – As needed; Event Calendars – Permanent	Event Planning and Program Materials – Archive; Event Administration – destruction; Event Calendars – Archive
Unofficial Copy	All others	As needed	Destruction

Institutional Research Records – These Records document the collection, interpretation, and dissemination of institutional research, including surveys of faculty, staff, and students.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Institutional Research	Collection Tools, Aggregate Data & Reports – Permanent; All other data – as needed	Archive; All other data - destruction
Unofficial Copy	All others	As needed	destruction

RESEARCH RECORDS

Funded Grant Proposals – These Records document funded grant proposals. These Records may include but are not limited to applications; grant proposal narratives; budget; letters of support; notifications of award; contract and agreements; correspondence; progress and final reports

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments, Advancement or Provost Office	Permanent	Archive
Unofficial Copy	All others	As needed	Confidential Destruction

Grant Accounting Records – These records document the financial administration for all funded grants

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments, Advancement or Provost Office	7 years from close of funding period	Confidential destruction
Unofficial Copy	All others	As needed	Confidential Destruction

Unfunded Grant Proposal Records – These Records document unfunded grant proposals. These records may include but are not limited to applications; grant proposal narratives; budget; letters of support; notifications of rejection

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments, Advancement or Provost Office	3 years	Confidential destruction
Unofficial Copy	All others	As needed	Confidential Destruction

OPERATIONS RECORDS

Building, Systems and Land Plans – These Records include architectural blueprints; sketches; aerial photographs; preliminary planning drawings; as built drawings; drawings reflecting changes to original plans; soil testing maps; any other types of graphic representation produced relating to buildings, systems, and land.

	Record Holder	Retention Period	Disposition
Official Copy	Facilities Office	Permanent	Archives
Unofficial Copy	All others	As needed	Confidential destruction

Construction Project Records – These Records are used to document the planning, administration, and implementation of current and potential construction projects; to project needs for projects; and as a reference to projects once they have been completed.

	Record Holder	Retention Period	Disposition
Official Copy	Facilities Office	Permanent	Archives
Unofficial Copy	All others	As needed	Confidential destruction

Real Property Leasing and Rental Records – These records document the lease and rental of property.

	Record Holder	Retention Period	Disposition
Official Copy	Facilities Office	7 years after expiration of lease or agreement	Confidential destruction
Unofficial Copy	All others	As needed	Confidential destruction

Real Property Records – Records documenting ownership, rights, acquisition and disposition of real property.

	Record Holder	Retention Period	Disposition
Official Copy	President's Office	Permanent	Archive
Unofficial Copy	All others	As needed	Confidential destruction

GOVERNANCE AND LEGAL RECORDS

Governance Records – Records that are the foundational documents governing the legal status of UD and includes, Articles of Incorporation, Bylaws, any formal charters.

	Record Holder	Retention Period	Disposition
Official Copy	President's Office	Permanent	Archive
Unofficial Copy	All others	As needed	Confidential destruction

Board of Trustee Governance Records – Records that document the formal actions and activities of the University Board of Trustees and includes, Board and committee meeting agendas, meeting minutes, official correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	General Counsel and Board Secretary	Permanent	Archive
Unofficial Copy	All others	As needed	Confidential destruction

Contract Records – Records related to the process to enter into a contract or agreement, including license agreements, or understanding including background support materials, drafts, memos, letters and related correspondence. These Records include the contract itself and all attachments and amendments.

	Record Holder	Retention Period	Disposition
Official Copy	Departments or offices	6 years after contract expiration	Confidential destruction
Unofficial Copy	N/A	N/A	N/A

Litigation Records – These Records provide documentation of legal cases involving UD, including investigative documents, pleadings, final decisions, and other supporting material.

	Record Holder	Retention Period	Disposition
Official Copy	Office of General Counsel	Permanent	Archive
Unofficial Copy	N/A	N/A	N/A

Grievance Records – These Records provide documentation of grievances raised by employees and or UD including investigative documents, statements, final decisions and other supporting materials.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	Permanent	Archive
Unofficial Copy	N/A	N/A	N/A

Law Enforcement Records – Records document activities of University law enforcement and campus security and include Annual Campus Crime statistics and Reports, Campus Crime Log, Working Papers related to the Annual Security Report

	Record Holder	Retention Period	Disposition
Official Copy	UD Police Department	4 years	Confidential destruction
Unofficial Copy	All others	As needed	Confidential destruction

MARKETING RECORDS

Photographic and Audio-Visual Materials – These Records document UD activities, events, students, faculty, and staff. Still and moving images are typically used for student recruitment, fund-raising, publicity, publications, research, or teaching. Still and moving images include fully identified photographs in print, negative, and slide formats; video recordings; film; and audio recording in all formats. Most departments and offices produce many copies of still and moving images. Departments and offices should determine which copy is the official copy and manage it accordingly. All other copies are unofficial and should be managed accordingly.

	Record Holder	Retention Period	Disposition
Official Copy	Departments and offices	Permanent	Archive
Unofficial Copy	All others	As needed	Destruction

Publications – These Records consist of materials produced by UD for the purposes of publicity, student recruitment, fund-raising, and community engagement. Types of publications may include but are not limited to web publications, employee directories, catalogs, books, magazines, newsletters, handbooks, yearbooks, directories, brochures, pamphlets, media guides, guidebooks, proceedings, programs, and flyers. These include both final published materials and supporting records related to the development and production of the piece, such as drafts and earlier versions.

	Record Holder	Retention Period	Disposition
Official Copy	Departments and offices	Final Published Material – Permanent; Supporting Production materials – As needed	Final Published Materials – Archive; Supporting production material - destruction
Unofficial Copy	All others	As needed	Destruction

Presentations and Speeches – These records consist of presentations delivered by UD administrators, faculty and staff for a variety of audiences for informational or promotional purposes and may include text, images, slideshows, or notes.

	Record Holder	Retention Period	Disposition
Official Copy	Departments and Offices	Permanent	Archive
Unofficial Copy	All others	As needed	Destruction

News Clippings – These Records document UD’s coverage in local and national media

	Record Holder	Retention Period	Disposition
Official Copy	Marketing and Communications	Permanent	Archive
Unofficial Copy	All others	As needed	Destruction

Consent Forms – These records grant UD permission to prelease, publish, and otherwise use still and moving images of individuals in publications, promotional materials and web publications

	Record Holder	Retention Period	Disposition
Official Copy	Marketing and Communications	Permanent	Archive
Unofficial Copy	N/A	N/A	N/A

Photographic and Audio-Visual Materials – These Records document UD activities, events, students, faculty, and staff. Still and moving images are typically used for student recruitment, fund-raising, publicity, publications, research, or teaching. Still and moving images include fully identified

	Record Holder	Retention Period	Disposition
Official Copy	Marketing and Communications	Permanent	Archive
Unofficial Copy	N/A	N/A	N/A

Patent and Trademark Records – Records documenting the protected trademarks and intellectual property rights of the University of Dallas.

	Record Holder	Retention Period	Disposition
Official Copy	General Counsel or appropriate research office	Permanent	Archive
Unofficial Copy	All others	As needed	Confidential destruction