

RECORD RETENTION GUIDELINES
College of Liberal Arts & Sciences
November, 2007
Revised May 2016

Purpose: to provide guidance to all CLAS units on best practices for retaining records pertaining to student evaluations, personnel, curriculum and syllabi, student records, and unit history. In the event that the legal office has sent a notice to retain certain records, you may not destroy or dispose of any records without prior written authorization of the legal office. This document has been reviewed by Human Resources, The Provost's Office, the University Legal Office, and the Registrar's Office.

STUDENT EVALUATIONS OF COURSES

- For untentured tenure-track faculty, keep all evaluations (including raw data);
- For tenured faculty, keep summary data for last 6 years;
- For full professors, keep summary data for last 6 years;
- For Affiliates, keep all evaluations for last 4 years;
- Electronic data: same as above.

DEPARTMENT PERSONNEL FILES (records of and pertaining to an employee)

- **Formal grievance records:** send to Dean for scanning, retention
- Current employees:
 - **Sabbatical materials:** retain notification of approvals/denials and of submission of sabbatical reports as long as person is employed; feedback from the FDC and/or USRC on sabbatical proposals submitted by the unit going back 7 years (beginning in 2017)
 - **Leave of Absence** material: retain until 1 year after return;
 - **Medical Records: forward to Deans office for disposition.**
 - Matters currently in dispute or current behavioral concerns: retain until the matter has been resolved or the person is no longer employed;
 - **Faculty Activity Reports and Faculty Activity Plans:** retain for last 6 years;
 - Personnel Action **Final Unit Recommendation Report:** retain for 7 years or until next personnel action;
 - Personnel Action **Post-Meeting Faculty Comment Forms:** Dean's office will retain for one year or until no longer needed.
- Former employees:
 - Retain for 4 years; but it is not necessary to keep salary/compensation letters or appointment letters (since copies of these are retained elsewhere). Alternatively, HR will accept all documents at the time the employee leaves and determine which to save for scanning. It may be advisable to retain some materials longer, for possible use for special awards, commemorations, etc.

CURRICULAR MATERIALS: Dean's office will decide.

COURSE SYLLABI: Retain electronically for 7 years from the last date the course was offered unless an accrediting body requires a different retention period.

ANNUAL SCHEDULES: keep an electronic copy for a minimum of one year or for longer if useful to the department. Course Change Notification forms should be retained until the end of the academic year.

STUDENT RECORDS (records of and concerning students' education)

- Department records: anything that, once decided, would then be recorded on a student's transcript (e.g. a grade appeal, transfer credit) may be destroyed after 1 year;
- Advising files: under normal circumstances, keep files 3 years from date of graduation or 3 years from last contact with the student.

RECORDS OF POSSIBLE HISTORICAL SIGNIFICANCE FOR THE UNIVERSITY: consult with Dean and University Archivist.

PRIOR LITIGATION RECORDS: check with the University Counsel Office.

PRIVATE FILES FOR YOUR EYES ONLY (e.g. personal notes, logs, etc.): may be destroyed when you consider that the issue is no longer relevant.

ELECTRONIC RECORDS STORAGE: Before new documents or records are created, it is advisable to decide how and where they will be kept (electronically? hard copy?) and for how long. Wherever possible, move toward electronic submission and storage.

Overall recommendations

- When shredding large numbers of documents, departments are advised to use a company recommended by the university.
- Departments are advised to develop a policy and process to periodically purge documents.