University of Kansas
General Records Retention Schedule

Record Class: GENERAL ADMINISTRATIVE RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Accreditation Records - External	Reports made by accrediting associations, recommendations by said committees, and institutional responses to committee observations and suggestions	University, College, School, Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	

Accreditation Reports and Review Records - Internal	Variety of documents relating to the accreditation review process for the separate colleges or professional organizations to ensure that academic or professional standards are met and maintained	University, College, School, Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Activity Report Records/Job Flows	Internal documents used to compile statistics on department activities: traffic reports, activity logs, etc.	Department or Office	Retain 2 fiscal years	Secure destruction	
Administrative Files	Central files documenting the daily activities of an office. This does not include record types specifically identified elsewhere in this schedule.	Department or Office	Retain until no longer useful, then transfer to the University Archives for purging.	University Archives	
Annual Reports	Annual report of the activities of the originating office or department	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Committee Records	Agendas, minutes, correspondence, reports, etc. relating to committees, task forces, commissions, and other standing or ad hoc groups	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Conference Files	Documents relating to various conferences sponsored by the university	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives	
Correspondence & Memos - Policy Related	Internal memos, e-mail, and other correspondence that state or form the basis for policy, set precedent, or record important events in the operational and organizational history of the university or an office or department	Department or Office	Retain 5 calendar years or until no longer useful, then transfer to University Archives.	University Archives	

Correspondence & Memos - Routine	Incoming and outgoing letters, memoranda, and email pertaining to routine matters handled in accordance with existing policy and procedures: requests for information, letters of transmittal, etc.	Department or Office	Retain until no longer useful, then destroy.	Secure destruction
Lectures - Visiting	Documents relating to lectures delivered by visiting speakers.	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives
Policy Statements	Original copies of formal explanations of department policies and procedures.	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives
Statistical Reports	Statistical records of university activities/functions used in compiling and publishing monthly, quarterly, and/or annual reports.	Department or Office	Retain until no longer useful, then transfer to the University Archives for purging.	University Archives
Strategic Planning Files	Variety of documents relating to the strategic planning process	Department or Office	Retain until no longer useful or superseded, then transfer to the University Archives for purging.	University Archives
Public Relations Materials	Clippings and press releases; documents related to official functions; internally produced newsletters, pamphlets, leaflets, and brochures; documents commemorating anniversaries, etc.; final versions of department related speeches and other formal public communications	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives
Photographic & Video Materials	Photo-prints, negatives, slides, films, videotapes, etc. This does not include photographic or video materials used/compiled for medical/research purposes.	Department or Office	Retain until no longer useful, then transfer to the University Archives.	University Archives

Record Class: ACCOUNTING & FINANCIAL RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Financial Statements and Reports - External	This includes but is not limited to statements and reports issued to the State, bonding agencies and other financial institutions, and federal agencies. The supporting general ledger files and work papers should be retained.	Comptroller's Office and Office of Research & Graduate Studies	Retain permanently.	Permanent	
Tax Returns & Reports	This includes but is not limited to tax returns filed with the Internal Revenue Service, and state and local tax authorities. This includes tax information provided to the State and the Board of Regents. The supporting work papers should be retained.	Comptroller's Office and Office of Research & Graduate Studies	Retain 7 fiscal years.	Secure destruction	
Audit Reports & Work papers - *Internal*	Internal Audit work products include Audit Reports and Work papers for all audit, investigation, and advisory service projects - which may be in electronic or hardcopy form.	Internal Audit office	Retain 1 signed copy of the final report permanently. Work papers are held 5 fiscal years.	University Archives/Secure destruction	Audit work products are the property of the university. Internal Audit maintains custody of all audit work products, which are subject to the retention requirements set forth above.
Audit Reports & Work papers - *External*	External Audit work includes, but is not limited to, Audit Reports issued by the State Legislative Post Audit, public accounting firms, and tax authorities.	Internal Audit office	Retain 7 fiscal years. Keep final reports issued by Legislative Post Audit permanently.	University Archives/Secure destruction	Audit work products are the property of the university. Internal Audit maintains custody of all audit work products, which are subject to the retention requirements set forth above.

Accounts Payable Records	Documents related to the payment for goods and services, including but not limited to purchase orders, contracts, invoices, vouchers, correspondence, and subsidiary ledgers. This includes SOV and Interfund transactions used to make payments between university departments and other State agencies. This also includes transactions completed via business procurement cards.	Comptroller's Office, Office of Research & Graduate Studies, and Department or Office	Retain 4 fiscal years.	Secure destruction	
Accounts Receivable Records	Documents related to the assessment, billing, and collection of amounts due to the university, including but not limited to fee schedules, contracts, collection efforts, correspondence, and subsidiary ledgers. This includes SOV and Interfund transactions used to make payments between university departments and other State agencies. This also includes transactions completed via merchant credit cards.	Comptroller's Office, Office of Research & Graduate Studies, and Department or Office	Retain 4 fiscal years.	Secure destruction	
Asset Records	Documents related to the purchase, maintenance, repair, improvement, and depreciation of capital assets.	Comptroller's Office and Office of Research & Graduate Studies	Retain for the life cycle of the related asset plus 1 year, then destroy.	Secure destruction	
Payroll Records	These records are required for the traditional payroll, including tax and immigration status, and funding of positions. Much of this information is shared with the State's Payroll.	Comptroller's Office, Office of Research & Graduate Studies, and Department or Office	Retain 5 years after termination of the employee, then destroy.	Secure destruction	

Student Financial Records	These records support the student's financial account with the university. They include tax and immigration status; assessment, billing and collection information; and FERPA-related information.	Comptroller's Office and Offices of Student Success	Retain for 4 fiscal years after date of graduation or last attendance, then destroy.	Secure destruction	
KU Card	These records include employee and student information as well as financial information if the individual has opted to use the debit card function of the KU Card.	KU Card Center	Retain until employee or student leaves the university.	Secure destruction	
Machine-produced files	Master files produced by business machines during accounting, including but not limited to PeopleSoft and DEMIS databases, stand-alone accounting software hosted by departments, and interfaces with the State and other external parties.	Comptroller's Office, Office of Research & Graduate Studies, Office of Institutional Research & Planning, and Information Technology	Retain 4 fiscal years.	Secure destruction	
Cash Management Records	Records to manage business with all types of financial services providers, including cash, check, credit card, and other forms of receipt and payment transactions. This includes, but is not limited to bank statements and reconciliations, deposit registers, and check registers.	Comptroller's Office and Office of Research & Graduate Studies	Retain 4 fiscal years.	Secure destruction	
Budget Preparation Files - Annual	Documents used in the preparation of annual university and department budgets, including but not limited to budget requests, and final forecasts and analyses	Budget Office, Comptroller's Office, Office of Research & Graduate Studies, and Department or Office	Retain 5 fiscal years, then contact University Archives for appraisal.	Securely destroy if not accepted by the University Archives.	

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Bid Records	Documents related to procuring goods and services, including but not limited to requests for proposals, requests for information, bids, quotations, and estimates	Comptroller's Office and Office of Research & Graduate Studies	Retain 4 fiscal years.	Secure destruction	
Purchase Orders	Purchase orders used by both the university's Central Purchasing Offices and departments to request purchases of goods and services. This includes but is not limited to contracts and agreements, and subsidiary ledgers. See also Bid Records.	Comptroller's Office and Office of Research & Graduate Studies	Retain 4 fiscal years.	Secure destruction	
Grant Files - Funded	Documents relating to applications for federal, state, and private grants and to the implementation of those received	Office of Research & Graduate Studies and research centers, and Department or Office	Retain for 5 years after final payment, then destroy financial records. Transfer remaining documents to University Archives.	University Archives	
Grant Files - Unfunded	Applications and supporting documentation relating to federal, state, and private grants that were submitted but not funded	Office of Research & Graduate Studies and research centers, and Department or Office	Retain electronic copy until no longer useful, then archive. Hard copy proposals are returned to the Principal Investigator (PI) or destroyed dependent upon their instruction.	University Archives	

Record Class: LEGAL RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments

Grievance & Administrative Hearing Files	Documents relating to actions taken by or against employees or students. Includes records of grievances, hearings, and appeals	Department responsible for the action or proceeding.	Retain for 5 years after case is closed or until no longer useful (whichever period is longer), then transfer to University Archives for purging.	University Archives	
Litigation Records	Documents and reference materials (including court transcripts) regarding cases litigated by the Office of the General Counsel or outside counsel for the university	Office of the General Counsel or outside counsel, if engaged.	Retained by the Office of the General Counsel or outside counsel until no longer useful, then destroy.	Secure destruction	
Legal - Deeds for Real Estate	Documents pertaining to ownership of real property	Office of the General Counsel	Retain permanently.	Permanent	Original copy forwarded by the Office of the General Counsel to Board of Regents per Board of Regents policy.
Easements	Easements for the use of real estate	Office of the General Counsel	Retain permanently.	Permanent	
Legal - Vehicle Ownership Records	Legal documents pertaining to ownership of department vehicles, including titles	Comptroller's Office	Retain for 5 years after ownership terminated, then destroy.	Secure destruction	
Legal - Contracts	Legal agreements with individuals/entities and associated documents (DA-146 series)	Office of the General Counsel	Retain for 5 years after the close of contract, then destroy.	Secure destruction	Sponsored research agreements and research licensing agreements involving KU technology are generally kept at KUCR or at KUCTC. For Procurement records see Purchase Orders and Bid Records.
Legal - Patents, Trademarks and Copyright	Documents relating to Patent, trademark, and copyright registrations or the original documents themselves	Office of the General Counsel	Retain for 5 years after expiration of patent or registration, then transfer to University Archives.	University Archives	

| Legal - Investigation or Inspection Reports | Reports of findings associated with investigations of complaints or incidents, and/or reports of inspections made that can include identifying information, general inspection results, and remarks | Department or Office | Retain for 5 years after inspection or the close of the investigation, then destroy. | Secure destruction | |
| Medical Records | Patient/client medical or treatment records of campus clinics, mental health facilities, and Watkins Memorial Health Center | Department or Office | Retain 10 years beyond age 21, deceased, or case closed, then destroy. | Secure destruction | |

Record Class: PERSONNEL RECORDS (Faculty/Staff/Students)

Series Title	Description	Official Copy	Retention	Disposition	Comments
Employee Evaluation Form and records regarding disciplinary actions	Documentation on an individual employee's work progress or problems and other records regarding disciplinary action	HREO (USS) Dept. Provost, VP, Deans' offices for other types of employees	Retain 62 years after termination of employment, then destroy.	Secure destruction	If non-USS employees' evaluations are sent to HREO, they will be retained in the Employee Personnel File.
Teaching Performance Evaluations	Final course evaluations by students; peer teaching evaluations as conducted by unit	Department or Office	Retain 62 years after termination of employment, then destroy.	Secure destruction	Upon termination, employee may request copies of the teaching evaluations as needed for subsequent employment.
Employee Personnel Files - Office Copies	Copies of documents in Employee Personnel Files associated with employment of specific personnel (applications, evaluations, forms, etc.), maintained in the department for convenience	Department or Office	Retain 62 years after termination of employment, then destroy.	Secure destruction	Departments may send their documents to be included in the Employee Personnel File if they choose.

Employee Position Descriptions	Formal descriptions of duties and other characteristics of particular employment positions	HREO (USS/UPS), Provost/Depts (Faculty, Academic Staff), Dept (students)	Retain until superseded, plus 62 years, then destroy.	Secure destruction	PA = PeopleAdmin for HREO
Employee Time Report Records - Departmental Files	Records documenting time worked by individual employees on a daily, weekly, or monthly basis: time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, etc.	Department	Retain for 6 fiscal years, then destroy.	Secure destruction	
Employee Withholding Allowance Certificates	Internal Revenue Service W-4 forms completed by employees to establish rate of tax to be withheld from paychecks	Payroll	Retain until no longer in effect then destroy, provided four years have passed since date tax was due or paid (whichever is later).	Secure destruction	Part of Employee Personnel Files
Employment Applications - Not Hired	Application and supplementary materials submitted by unsuccessful applicants for employment	HREO (USS/UPS - Students hired through PA) & Depts, Provost (Faculty, Academic Staff, Students)	Retain for 6 fiscal years, then destroy.	Secure destruction	PA = PeopleAdmin for HREO
Leave Requests	(Internal) departmental forms used to request and authorize the taking of leave by employees	Department or Office	Retain for 6 fiscal years, then destroy.	Secure destruction	
Promotion and Tenure Files	Information gathered to support tenure and promotion decisions	Provost	Retain 7 calendar years after date of decision, then destroy.	Secure destruction	

Recruitment Files	Documents relating to the recruitment process to fill vacant positions	HREO (USS/UPS - Students hired through PA) & Depts, Provost (Faculty, Academic Staff, Students)	Retain for 5 fiscal years, then destroy.	Secure destruction	PA = PeopleAdmin for HREO
Search Committee Records	Job postings, lists of candidates, final reports, etc.	HREO (USS, UPS) & Depts (All), Provost	Retain for 5 fiscal years, then destroy.	Secure destruction	PeopleAdmin for HREO. Dept must keep notes and documents not stored in PeopleAdmin.

Record Class: STUDENT & COURSE RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Organizations - Student	Records documenting activities of student organizations affiliated with university departments	Department or Office	Retain until no longer useful, then transfer to the University Archives for purging.	University Archives	
Organizations - Student Government	Records documenting the activities of the Student Governing Association, Student Senate, etc.	Department or Office	Retain until no longer useful, then transfer to the University Archives for purging.	University Archives	
Admission Files - Students Who Did Not Enroll	Applications, transcripts, and ACT scores for students who applied for admission but did not enroll	Department or Office	Retain for 1 year after application term, then destroy.	Secure destruction	

Admissions Files - Enrolled Students	Applications, transcripts, letters of recommendation, financial aid, English scores, immigration documents, autobiographical statements, etc. required for admission. (Current & Past Students)	Department or Office	Retain for 5 years after graduation or date of last attendance, then transfer autobiographical statements to the "Autobiographical Statements" series and retain accordingly. Destroy the remainder of the file.	Secure destruction	
Academic Advising Records	Records documenting students' interactions with academic advisors, including academic tracking records and correspondence	Department or Office	Retain online advising tool until no longer useful, then destroy.	Secure destruction	
Attendance Forms	Attendance records, including last day of attendance forms, reporting students who never attended or ceased attending classes	Department or Office	Retain 1 calendar year after applicable semester, then destroy.	Secure destruction	
Student Enrollment Files	Enrollment forms, student status changes, and related documents concerning an individual student's enrollment in a course	University Registrar	Retain for 3 calendar years, then destroy.	Secure destruction	
Class Syllabi	List of readings and requirements for a particular course	Department or Office	Retain for 5 years after class last taught, then destroy.	Secure destruction	
Theses and Dissertations	Record copies of Master's theses and Ph.D. dissertations submitted to fulfill graduation requirements	Department or Office	Permanent	Libraries	
Faculty Grade Books	Used by faculty to record class participation, attendance, homework, grades, test grades, and other items concerning students in classes	Department or Office	Retain 2 calendar years after grades assigned, then destroy.	Secure destruction	
Faculty Grade Reports	Reports prepared by faculty members recording the grade each student received for a course	Department or Office	Retain 1 calendar year after grades assigned, then destroy.	Secure destruction	

Application for Graduation	Application submitted by a prospective graduate several months prior to graduation, resulting in an administrative check of student records to confirm that the student is eligible for graduation	University Registrar	Retain 1 calendar year after date of graduation or date of last attendance, then destroy.	Secure destruction	Electronically retained
Application for Readmission	Form required to update student information when there is a break in attendance and student requests readmission	Department or Office	Retain 5 calendar years after graduation or date of last attendance, then destroy.	Secure destruction	
Change of Course Forms	Student requests to drop or add a course	University Registrar	Retain 1 calendar year after student's graduation or date of last attendance, then destroy.	Secure destruction	
Change of Grade Request	Forms completed by instructor to change a course grade	University Registrar	Retain for 7 fiscal years, then destroy.	Secure destruction	
Class Rosters	List of students enrolled in a particular course	University Registrar	Retain departmental/instructor copies 1 calendar year, then destroy.	Secure destruction	Permanent on SRIS
Class Schedules - Students	Class schedule generated each semester for each student	University Registrar	Retain departmental/advising copies 1 academic year after graduation or date of last attendance, then destroy.	Secure destruction	Permanent on Student Information System
Class Schedules - Forms	Form used by the student and the advisor to determine the classes in which a student will enroll for a given term and to update addresses and other information	Advising unit creating	Retain for 1 year after graduation or date of last attendance, then destroy.	Secure destruction	Permanent on Student Information System

Correspondence - Student Related	Incoming and outgoing letters and memoranda which relate to student records issues, such as academic status, graduation, registration, etc.	Department creating	Retain 5 academic years after date of graduation or date of last attendance, then destroy.	Secure destruction	
Course Catalogs	Catalog (law, medicine, graduate, and undergraduate)	University Registrar	1.) Departmental units retain until new catalog is issued, then destroy if no longer useful. 2.) University Archives and University Registrar retain copies permanently.	See Comments	University Archives and University Registrar retain permanently. All other departments, destroy.
Coursework - Students	Student quizzes, tests, exams, papers, homework, and projects	Department or Office	If not returned to student, retain 1 calendar year after grades assigned, then destroy.	Secure destruction	
Credit/No Credit	Applications for credit/no credit option	University Registrar	Retain for 5 calendar years, then destroy.	Secure destruction	
Curriculum Change Authorization	Form documenting change of a student's academic minor, major, or emphasis	University Registrar	Retain 5 calendar years after date of graduation or date of last attendance, then destroy.	Secure destruction	Departments/Advising units may wish to retain in advising file for ease of reference for similar timeframe.
Department Specific content with student related information	Any document with non-directory information of student in the content. Examples can include but may not be limited to advising notes, requests for exceptions, misconduct files, fee assessment information, certification forms, etc.	Varies -- contact University Registrar	Varies -- contact University Registrar	Secure destruction	

Series Title	Description	Official Copy	Retention	Disposition	Comments
Withdrawal Authorizations	Student requests to withdraw from a class that have been granted	University Registrar	Retain 2 years after graduation or date of last attendance, then destroy.	Secure destruction	

Record Class: LIBRARY RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Accession Records (Spencer Library)	Record for each manuscript and photographic collection, providing basic information about the collection, where it came from, what it is, when it arrived, special issues, etc.	Spencer Library	Retain permanently.		
Bibliographic & Holdings Records	Library catalog records providing finding aids to library collections	Online in the integrated library management system	Retain for life of material.	Secure destruction	
Borrower Application Forms	Borrower card application forms which are entered into the computer circulation system	Department or Office	Retain current year, plus 3.	Secure destruction	Store in secure paper file.
Borrower Notices & Correspondence	Overdue, fines/fees, lost book, item availability, search, hold, borrower card renewal notices	Department or Office for print and online as part of library management systems	Retain 3 years.	Secure destruction	
Circulation Records (Automated)	Items checked out to individual borrower through the computer circulation system	Online in the integrated library management system	Retain until transaction is complete unless related fines or fees occur. Transactions with fines and fee records are retained permanently.	System delete	

Course Reserve Lists (Automated)	Lists of item on reserve in the online course reserve system, placed on reserve status by teaching faculty and instructors	Online in the electronic course reserve system	Retained permanently in automated system.		
Deeds of Gift	Records of donor information	Department or Office	Retain permanently.		
Electronic Reference	Questions from patrons via electronic reference service	Online in the electronic reference system	Retain 90 days, then strip personal information and retain until no longer useful, then destroy.		
Fines & Fees Records	Documents fees charged and collected for overdue books, lost books, interlibrary loan requests, etc.	Online in the integrated library management and interlibrary loan systems	Retain permanently within automated system.		
Master Digital Files	Original master files from digital scanning and conversion projects	Online on the digmaster server on the IT floor	Retain permanently.		Retained on IT server/storage.
Patron Comments	Comments received via web, e-mail, and correspondence	Online in email, both group and individual accounts. In print in Department or Office	Retain until no longer useful.	Secure destruction	
Patron Records	Any record that links library use or requests to an individual library user. Includes records held by library and in some cases accessible to external vendors under software support agreements. May include name and address information	Online in the integrated library management and interlibrary loan systems.	Retain expired records with no outstanding obligations for 5 years.	IT staff purge as part of routine maintenance.	

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Patron Requests - Permission to Publish Forms	Request by patron to publish reproductions of materials	Spencer Library	Retain permanently.		
Patron Registration Records for Spencer Library Use	Patron name, address, phone number, and signature attesting compliance with copyright law	Spencer Library	Retain permanently.		
Patron Online Search Records	Any record that links the search of an individual to keywords, topics, or materials in the library catalog	Voyager and apache log files on library management system web server	Retain 90 days, then strip personal information and retain until no longer useful, then destroy.	IT staff run scripts to strip information monthly.	IT will need to set up processing.

Record Class: INFORMATION TECHNOLOGY RECORDS

Series Title	Description	Official Copy	Retention	Disposition	Comments
Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed	Department or Office	Retain by Office until closed, terminated, completed, expired, or settled, and when reconciliation confirmed.	Secure destruction	
Charge-back Records to Data Processing Services Users	Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.		Retain 3 fiscal years. Retain summary reports until no longer useful, then transfer to University Archives.	Destroy detail records University Archives	
Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed	Department or Office	Retain for 3 months.	Secure destruction	

Computer Security Incident Documentation	Reports, logs, extracts and compilations of data regarding incidents involving unauthorized attempted entry, probes, and/or attacks on data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. Comply with applicable provisions of federal and state laws and regulations including HIPAA and FERPA regarding confidentiality of computer-related and privacy records.	Department or Office	Retain by Office until incident is resolved, plus 5 years.	Secure destruction	
Computer System Review	Firewall logs, system auditing logs, reports, and review reports regarding the maintenance and security of the computer system. Comply with applicable provisions of federal and state laws and regulations including HIPAA and FERPA regarding confidentiality of computer-related and privacy records.	Department or Office	Retain review report and supporting data for 3 years.	Secure destruction	
Data System Audit Trails Files	Consisting of data generated during the creation of a master file or database used to validate a master file or database during a processing cycle. Retained to create a management audit trail for and to ensure the quality of data. Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/ tapes; records of online updates to application files, or security logs.	Department or Office	Retain 5 fiscal years after closed, terminated, completed, expired, or settled and all audit requirements have been met.	Secure destruction	

Data System Users Access Records	Records created to control or monitor individual access to a system for security purposes, including but not limited to user account records, security logs, and password files	Department or Office	Retain until individual no longer has access to the system, plus 1 year.	Secure destruction	
Data Systems Backup Files	Copies of master files or databases, application software, logs, directories, and other documentation needed to restore a system in case of a disaster or inadvertent destruction	Department or Office	After closed, terminated, completed, expired, or settled after completion of the 3rd verification cycle; or audit completion confirming successful transaction updates; or required audit trail maintenance; or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: Records Management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.	Secure destruction	Backups used to document transactions should be scheduled separately by the responsible program unit. For fiscal systems, monthly system backups are retained for the entire fiscal year to provide an audit trail and meet annual requirements in lieu of copies. If these records are covered by specific Federal requirements on longer records retention, they should be scheduled separately by the appropriate program unit.

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Data Systems Documentation - Application Development Files	Records created and used in the development, redesign, or modification of an automated system or application. These may include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Documentation - Conversion / Migration Plans	Records that deal with the replacement of equipment or computer operating systems due to hardware/software obsolescence or maintenance.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Documentation - Data Documentation / Metadata	Records or metadata necessary to access, retrieve, manipulate, and interpret data in an automated system. May include data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	

Data Systems Documentation - Data Flow Documentation	Documentation regarding the movement of data within and/or between automated systems. May include data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Documentation - Data Systems Specifications	User and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications.	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Documentation - Hardware Documentation	Records documenting the use, operation, and maintenance of an agency's data processing equipment	Department or Office	Retain by Office 3 years after discontinuance/disposal of equipment.	Secure destruction	Retain for the life of the equipment, then transfer to new owner of equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records.

Data Systems Documentation - Source Code	Source Code	Department or Office	Retain by Office 3 years after discontinuance of system or application, and/or after system's or application's instance data have been destroyed or migrated to a new structure or format.	University Archives	
Data Systems Test Databases / Files	Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system	Department or Office	Retain by Office until system acceptance, plus 1 year.	Secure destruction	
Destruction of Files Reports		Department or Office	Retain by Office until superseded or obsolete, plus 1 year.	Secure destruction	
Disaster Preparedness and Recovery Plans	Plans and other documents related to reestablishment of data processing services following a disaster	Department or Office	Retain by Office until superseded, then transfer to University Archives.	University Archives	
Equipment Support - Network / Site	Site visit reports, trouble reports, service history, correspondence	Department or Office	Retain by Office service histories and other summary records until superseded or obsolete.

Retain by Office remaining records until administrative value ends. | Secure destruction | Retain for the life of the equipment, then transfer to new owner of equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records. |

| Equipment Support Files - Data Systems | Information on data processing equipment, software, and other products and their vendors. Record of support services provided for specific data processing equipment, including site visit reports, service reports, service histories, and correspondence. | Department or Office | Retain by Office service histories and other summary records until superseded or obsolete.

Retain by office remaining records for 3 years. | Secure destruction | Retain for the life of the equipment, then transfer to new owner of equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records. |
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| Finding Aids, Indexing, Tracking Systems | Automated indexes, lists, registers, and other finding aids used to provide access to records | Department or Office | Retain by Office until related paper or electronic records have been destroyed or transferred in accordance with the disposition of the related paper or electronic records as appropriate. | Varies based on disposition of related data / documents | Finding aides, indexes, and tracking systems of program units other than data processing units should be scheduled by the responsible program unit in conjunction with related program records. |

Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems	Department or Office	Retain by Office until closed, terminated, completed, expired, or settled and until electronic records are transferred to and made usable in a new hardware environment, or there are no electronic records that require the hardware in order to be retrieved and read are retained to meet an approved retention period. CAUTION: Software needed for access to the electronic records must be retained for the period of time required to access the records.	Secure destruction	
Help Desk Logs and Reports	Consists of records used to document requests for technical assistance and responses to these requests, as well as to collect information on the use of computer equipment to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes	Department or Office	Retain by Office until closed, terminated, completed, expired, or settled and when reconciliation confirmed, plus 2 years. Retain by Office, summary reports, until no longer administratively useful.	Secure destruction	

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History Files - Web Sites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of a user's progress	Department or Office	Retain by Office until closed, terminated, completed, expired, or settled and when reconciliation confirmed. Retain by Office, summary reports, until no longer administratively useful.	Secure destruction	
Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers		After closed, terminated, completed, expired, or settled.	Secure destruction	
Network / Circuit Installation and Service	Work orders, correspondence, work schedules, building / circuit diagrams	Department or Office	Retain by Office until completion of work, plus 2 years.	Secure destruction	
Network Circuit Inventories	Circuit number, vendor, cost per month, type of connection, terminal series, software	Department or Office	Retain in Office until superseded or obsolete, plus 2 years.	Secure destruction	
Network Implementation Projects	Reports, justifications, working diagrams, wiring schematics	Department or Office	Retain in Office until superseded or obsolete, plus 2 years.	Secure destruction	
Off-Line Storage Control Records		Department or Office	Retain by Office until superseded or obsolete, plus 1 year.	Secure destruction	

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Off-line Storage System Automated	List of backup tapes	Department or Office	Retain by Office until related records or media are destroyed or withdrawn from the media library.	Secure destruction	
Operating System & Hardware Conversion Planning	Replacement of equipment or computer operating systems that support the creation of non-permanent records	Department or Office	Retain in Office until completion of conversion, plus 1 year.	Secure destruction	
Polices, Procedures, and Related Documentation - Data Processing	Documents establishing policies, procedures, and guidelines for data processing, including access, security, systems development, data retention and disposition, and data ownership. Manuals or records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation	Department or Office	Retain by Office until superseded or obsolete, plus 3 years. **OR** Retain in Office until superseded or obsolete, plus 10 years.	Secure destruction	
Polices, Procedures, and Related Documentation - IT Security	Documents establishing IT security policies, procedures, standards, guidelines, or plans in areas such as physical access and security, systems access and security, information security, systems monitoring, etc.	Department or Office	Retain by Office until superseded or obsolete, plus 3 years.	Secure destruction	
Quality Assurance Records and Reports	Adherence of applications and systems development procedures and products to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations, and deadlines. Documentation includes reviews and assessments.	Department or Office	Retain by Office until source code is upgraded or becomes obsolete, plus 3 years.	Secure destruction	

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Software Registration, Warranties, License Agreements, Contracts		Department or Office	Retain by Office for life of the asset, plus 3 years.	Secure destruction	Retain until expiration of contract plus 5 calendar years, then destroy. See also Purchasing Records, Vendor Files, Accounts Payable Records, Bid Records, and Vouchers and Requisitions.
System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	Department or Office	Retain by Office as long as administratively valuable.	Secure destruction	
Usage Files - Data Systems	Records created to monitor computer system and network usage including but not limited to log-in files, system usage files, charge-back information, data entry logs, security logs, and records of individual computer program usage	Department or Office	Retain by Office until completion of applicable review and verification procedures. **OR** Retain in Office until completion of applicable review and verification procedures, plus 1 year .	Secure destruction	If no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.

Usage Files - Internet Services (internal)	Records created to monitor access and use of services provided via the Internet including Website logs, mail server logs, FTP logs, Telnet logs, and antivirus/anti-spam mail service logs	Department or Office	Retain by Office until completion of applicable review and verification procedures. **OR** Retain in Office until completion of applicable review and verification procedures, plus 1 year .	Secure destruction	If no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.
Usage Files - Network & Telecommunications (internal)	Records created to monitor computer system and network usage including but not limited to log-in files, system usage files, charge-back information, data entry logs, security logs, and firewall logs	Department or Office	Retain by Office until completion of applicable review and verification procedures **OR** Retain in Office until completion of applicable review and verification procedures, plus 1 year.	Secure destruction	If no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.
Usage Files - Summary Reports	Summary reports documenting computer usage for reporting of cost recovery purposes	Department or Office	Retain 3 fiscal years.	Secure destruction	Compare against Financial Records Schedule.
Telephone Accounting System Reports	Computer generated reports listing all telephone calls made or received from individual extensions within the agency	Information Technology	Retain 3 fiscal years.	Secure destruction	
Voice Mail Messages	Sound recordings produced by a voice mail system designed to leave messages for the receiver	Information Technology	Retain until no longer useful, then destroy.	Secure destruction	

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| Telephone Billing Records | Copies of computer billings and supporting documents concerning the use of a telecommunications service provider | Information Technology | Retain 3 fiscal years. | Secure destruction | |