

# General records retention schedule for State Colleges and Universities \_\_\_\_\_ 2003

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## **Introduction**

The Archives and Records Management Division of the State Archives has prepared this general retention and disposition schedule to give state-supported colleges and universities the legal authorization to retain and dispose of common records. The schedule lists the permanently valuable records, which should be properly protected, and it provides a timetable that will allow officials of colleges and universities to dispose of records of non-permanent value regularly and legally. In preparing this schedule, the Division consulted with representatives from various state colleges and universities and state agencies.

## **Purpose**

The schedule is designed to:

- give state-supported colleges and universities uniform guidelines for the retention and disposition of common records;
- make sure your college or university retains for as long as necessary records needed for administrative, audit, legal, litigation, fiscal, research, and other requirements;
- promote the cost-effective management of records;
- provide the legal authorization to dispose regularly of obsolete records.

## **Statutory authority**

Section 30-1-90(B) of the *Code of Laws of South Carolina, 1976*, as amended, authorizes the State Archives to promulgate as state regulations, general schedules for records common to state-supported colleges and universities. On 24 June 1994, the General Assembly approved the state colleges and universities general schedule as Regulation 12-800 through 12-813.10. Additions/revisions to the state colleges and universities general schedule were approved by the General Assembly as Regulation 12-800 through 12-819.10 and became effective 23 May 2003.

## **Definitions of schedules**

A records retention schedule describes one or several records series, shows the length of time the records should be retained, and indicates their final disposition. Schedules are of two types – specific and general.

***Specific Records Retention Schedules*** – these schedules are prepared and approved specifically for your college or university, and its name will appear on them.

***General Records Retention Schedules*** – these schedules are state regulations issued by the State Archives and are published in the *Code of Laws of South Carolina, 1976*, as amended. When a general schedule applies to records already covered under a specific schedule, the general schedule will supersede the specific schedule unless you wish to opt out of using the general schedule.

## **Special Provisions**

**Opting out** – You may already have approved specific schedules that cover some of the same records as the general schedule. If you prefer to continue using these specific schedules, the regulation allows you to opt out of using the general schedule. The regulation will also let you opt out of using general schedules if you wish to establish new specific schedules instead.

**Unique records** – This general schedule does not list records that are unique to your college or university. To control the retention and disposition of these, you should refer to your specific schedules. If you have no specific schedules, contact your records officer. If you do not know who your records officer is, contact State Records Analysis at 803-896-6123.

**Confidential and restricted records** – Records officers and records custodians should ensure that confidential records are filed, accessed, and disposed of according to federal, state, and basic records management requirements.

**Exceptions to minimum retention periods** – This general schedule establishes minimum retention periods for the official copy of your records. Although most records can be destroyed when their minimum retentions have been met, you may need to keep some records longer to satisfy applicable federal and/or state audit, legal, litigation, investigation, fiscal and other retention requirements. Be sure those requirements have been met before you dispose of those records.

**Copies** – This general schedule does not cover copies of records, which you may have made for convenience, information, or duplication. You may destroy copies when you no longer need them.

**To whom does this schedule apply?**

State-supported colleges, universities, technical colleges, and any affiliated institutions supported by public funds or expending public funds.

**General schedule format**

Each record series listed in the general schedule is presented in the following format:

<p><b>EXAMPLE</b></p> <p><b>12-806.6. Bank Deposits and Cancelled Checks</b></p> <p><b>A. Description:</b> Document the deposit of cash and checks into institution’s bank accounts. Information includes deposit slips, bank statements, receipts, letter of credit for recording federal deposits, cancelled checks and other related information.</p> <p><b>B. Retention:</b> 3 years; destroy</p>
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**Regulation number and series title** – The first line includes the regulation number, which is used for control, and the title most commonly used.

**Part A. Description** – A short statement describing the use and informational content of the record series. In many cases, the description also specifies who created the series.

**Part B. Retention** – The time period indicating *the minimum length of time* that records should be retained by the office before their disposition can take place. (Before applying for the disposition of records under this general schedule, colleges and universities must ensure that they are no longer required to hold the records for federal or state audits, for legal purposes, for litigation, for fiscal information, or for any other action.)

**Explanation of terms used in retention statements**

**“Until no longer needed for reference”** – Records are to be kept until you decide they have no further reference value.

**“College or university archives: Permanent”** – Records are to be transferred to the college or university archives for permanent retention.

**“Microfilm Optional”** – Microfilm may be substituted for the original records if the microfilm meets the state standards (see R-12-200 of the *Code of Laws of South Carolina, 1976*, as amended). Before you destroy the originals, you must submit and have approved a Microfilm Quality Certification for Records Disposition form.

“*X* years, destroy” – Records may be destroyed after X number of years provided you have met the terms mentioned in Section 12-800 of the regulation.

### **Using this schedule effectively**

- Before using this general schedule you should contact your records officer, who should coordinate all activities relating to the retention and disposition of the records and function as a liaison with the State Archives in administering your records management program. If you do not know who the records officer is, contact State Records Analysis at 803-896-6123.
- Records officers should work with other staff to coordinate the regular disposition of obsolete records. Disposition should be carried out periodically – at least once a year. To streamline disposition, staff should review filing arrangements, cut off files periodically, and develop procedures to segregate inactive and obsolete files.
- Generally, records should be destroyed when the minimum retention periods have been met, unless they are needed to meet specific requirements (see Section 12-800) or are designated for archival retention. Although you are not required to destroy records at the end of their minimum retention periods, obsolete records should not occupy expensive office and storage space.
- The titles and descriptions of record series listed in the general schedule may not reflect exactly the titles and descriptions you use. If you are not certain whether the schedule applies to a specific record in your office, contact your records officer.

### **How to use the general schedule**

1. Study the general schedule and compare it with your specific schedules, if you have any, to determine which schedule or schedules you will use.
2. Locate and examine all your records.
3. Match each records series with the title and description on the general schedule.
4. Follow the records disposition process outlined below. The process is illustrated by the flow chart on page 13.

### **Records disposition process**

#### **Permanent (archival) records:**

**Paper Records** – After your permanently-valuable paper records become inactive, you should transfer them to your college or university archives as scheduled. If your college or university does not have an archival repository, contact your records officer or State Records Analysis at 803-896-6123.

**Micrographics** – If you microfilm permanent records, contact Micrographics Services at 803-896-6208 for help and information about microfilm standards.

**Optical disk** – If you are maintaining permanent records as digital images, special requirements apply. Contact State Records Analysis at 803-896-6123 for more information.

#### **Non-permanent records:**

To destroy records according to this general schedule, you must complete and forward to State Records Analysis a “Report on Records Destroyed” form. A sample form is included on pages 10–11 and blank forms are available from State Records Services. Follow the step-by-step instructions on the back of the form. Please note that both the form and the process are the same as those you use to document records disposal under your specific schedules. To help you estimate cubic footage for column 9 on the form, we have included a table of volumes on page 12.



### **Contacting the State Archives—When and Whom?**

#### **When?**

1. You submit a “Report on Records Destroyed” form when destroying records covered by general and/or specific schedules.
2. You need to prepare or revise specific schedules.
3. You need help with your records management duties.

#### **Whom?**

State Records Analysis  
8301 Parklane Road  
Columbia, SC 29223-4905  
Phone 803-896-6123; Fax 803-896-6138  
We are on the inter-agency mailing list.

#### **When?**

1. You want to substitute microfilm (Microfilm Quality Certification For Records Disposition Form) for the original records. (Note: You must have a records schedule to do this.)
2. You need to store security microfilm of permanently-valuable records.
3. You want information about processing, quality control, and duplicating services.

#### **Whom?**

Micrographics Services  
8301 Parklane Road  
Columbia, SC 29223-4905  
Phone 803-896-6208; Fax 803-896-6138  
We are on the inter-agency mailing list.



## **INSTRUCTIONS FOR COMPLETING THE FORM REPORT ON RECORDS DESTROYED**

***Please read the instructions carefully before completing this form.***

After completion, your agency must return this form to the State Archives, Records Services Branch, and retain a copy for reference to document the legal disposition of your records.

**AGENCY** means any state or local government entity.

This form should only be used to report the destruction of records covered under a specific Record Retention/Disposition schedule. Generally, this form should be completed by the agency records officer or authorized representative.

1. Enter your agency's name (Department of Health and Environmental Control) or the name of your political subdivision (Lexington County Sheriff's Office).
2. Leave block 2 blank. This block will be completed by SC Department of Archives and History Record Analysts upon receipt of this form by the Records Services Branch.
3. Enter any division or office identification which will clarify the records destroyed (Retirement System, State Law Enforcement Division).
4. Enter the date your agency prepares this form.
5. The official making the report should sign here. The approving authority must be the agency's chief administrative officer or authorized representative. In most state agencies, this authorized representative may be the agency records officer. In local agencies this authorized representative may be the manager, administrator, elected department head or other designated official.
6. Enter the exact record series title. Each series title should correspond to the one cited in the record retention schedule.
7. Enter the appropriate record series/schedule number for each record series destroyed.
8. Enter the earliest and latest dates covered by the records destroyed (2/1992-5/1993; or 1987-1990).
9. Enter the volume (in cubic feet) of records destroyed. *See 11 below.*
10. Enter the date (month and year) of destruction (3/1993; 1/1987; 12/1980).
11. Enter the total volume of records destroyed. Add figures entered in column 9.

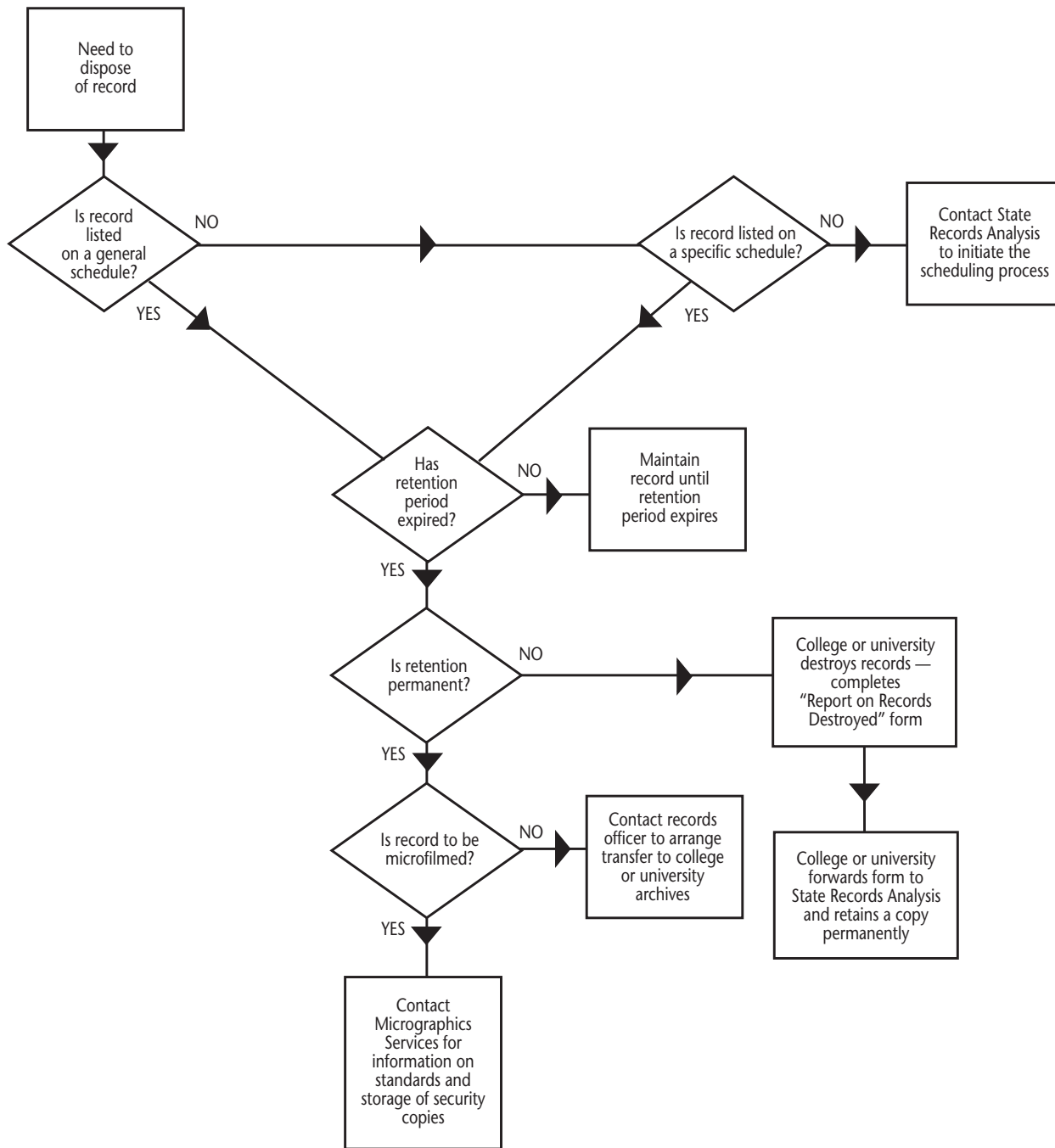
## TABLE OF VOLUMES

	QTY.	ITEM/SIZE	CAPACITY
<b>C A B I N E T S</b>	1	vertical letter-size file drawer	1.5 cubic feet
	1	vertical legal-size file drawer	2.0 cubic feet
	1	lateral legal-size file drawer	2.5 cubic feet
<b>B O X E S</b>	1	standard Records Center box	1.0 cubic foot
<b>S H E L V E S</b>	1	letter-size open shelf—36" long	2.0 cubic feet
	1	legal-size open shelf—36" long	2.5 cubic feet
<b>C A R D  F I L E S</b>	10	12" rows of 3" x 5" cards	1.0 cubic foot
	6	12" rows of 4" X 6" cards	1.0 cubic foot
	4	12" rows of 5" x 8" cards	1.0 cubic foot
	5	14" boxes of tab cards	1.0 cubic foot

### CUBIC FOOT EQUIVALENCY FORMULA

$$\frac{L \times W \times H \text{ (in inches)}}{1728 \text{ inches}} = \text{cubic feet/unit}$$

## Records disposal process



## **General Records Retention Schedules for State Colleges and Universities**

### **12-800. Introduction and general matters; application of schedule**

The following general records retention schedule contains minimum retention periods for the official copy of the institution's records. These retentions and dispositions apply regardless of physical format, i.e., paper, microfilm, electronic storage, digital imaging, etc. Convenience, informational or duplicate copies are not governed by this regulation and may be destroyed when no longer needed for reference. To destroy records in accordance with this regulation, institutions must complete and submit a Report of Records Destroyed form to the State Archives after eligible records have been destroyed. These forms are available from the Department's Archives and Records Management Division. Before disposing of public records under this general schedule, colleges and universities are responsible for ensuring that records are no longer required for federal or state audits, for legal purposes, for litigation, for fiscal information, and/or for any other action. This general schedule supersedes all schedules approved previously for the same record series. However, state colleges and universities may opt out of this general schedule and request the continuing use of existing schedules or the establishment of specific retention schedules for their records when appropriate, necessary, or in order to avoid conflict with other laws or regulations.

### **Subarticle 1. Trustee Board**

**12-801.1 through 12-801.4** *(Reserved for future use)*

#### **12-801.5. Trustee Board Meeting Minutes.**

**A. Description:** Records of official proceedings of state college or university governing bodies. Information includes agenda, date, place, list of attendees, action taken on resolutions, and a summary of discussion and decisions. Official minutes also include all informational attachments such as reports, survey, proposals, studies and charts distributed to members for discussion, and for use in making decisions on institution policy, planning, and administrative matters.

**B. Retention:**

- (1) Office: 5 years.
- (2) College or University Archives: Permanent.

### **Subarticle 2. President**

**12-802.1 through 12-802.4** *(Reserved for future use)*

#### **12-802.5. Administrative Correspondence**

**A. Description:** Concerns communications received and generated by the institution's president. Letters pertain to information requests, responses to those inquiries; matters related to the board of trustees; administrative and fiscal operations of the institution; consultations with presidents of various colleges or universities; information pertaining to professional organizations and educational authorities; and other related topics.

**B. Retention:**

- (1) Office: 3 years. Microfilm optional.
- (2) College or University Archives: Permanent.

#### **12-802.6. Administrative Files**

**A. Description:** Document executive actions, decisions and interactions with key officials of the institution. Information in the form of memoranda, policy statements, and reports concerns accreditation requirements, budget material, department activities, faculty and student relations,

tenure and salary issues, physical plant development, grant awards, research programs, foundation endowments, fiscal accountability, personnel matters, academic requirements, student athletic issues, and other related topics. Also included are draft copies of speeches.

**B. Retention:**

- (1) Office: 3 years. Microfilm optional.
- (2) College or University Archives: Permanent.

**12-802.7. Meeting Minutes of President's Executive Staff**

**A. Description:** Document meetings held by a state college or university president with his or her executive staff. Information includes agenda, location of meeting, date, names of attendees, attachments, a summary of discussion, and decisions made.

**B. Retention:**

- (1) Office: 5 years.
- (2) College or University Archives: Permanent.

**12-802.8. Resource Files**

**A. Description:** Consist of manuals, informational bulletins, and guidelines required for long term reference in the administration of the institution. Information includes academic issues, copies of personnel policies, National Collegiate Athletic Association material, Commission on Higher Education activities, copies of state and federal laws or regulations governing the administration of public colleges and universities, fiscal procedures, institution organizational matters, student government activities, and other related subjects.

**B. Retention:** Until superseded, or no longer needed for reference; destroy.

**Subarticle 3. Provosts and Vice Presidents**

**12-803.1 through 12-803.4** *(Reserved for future use)*

**12-803.5. Administrative Correspondence**

**A. Description:** Correspondence is related to the administration of an institution or its major departments and divisions. Communications concern management activities, priorities for academic affairs, major business and finance matters, physical plant maintenance, important student related matters, and athletics administration. These letters are usually found at the institution's provost and vice president levels.

**B. Retention:**

- (1) Office: 3 years. Microfilm optional
- (2) College or University Archives: Permanent.

**12-803.6. Administrative Files**

**A. Description:** Document actions of a state college or university's provost or vice presidents. Information includes memoranda and reports concerning institution policy, organizational and program development records, and important fiscal data and personnel information. These records reflect administration of policies, coordination of institution functions, and overall management of major divisions and departments of a state college or university. Also included are draft copies of speeches.

**B. Retention:**

- (1) Office: 3 years. Microfilm optional.
- (2) College or University Archives: Permanent.

**Subarticle 4. Administrative**

**12-804.1 through 12-804.4** *(Reserved for future use)*

#### **12-804.5. Accreditation Reports**

**A. Description:** Used to record observations, recommendations and decisions of visiting accreditation committee members. These reports are received from study committees of accreditation associations for colleges and universities. Reports reflect suggestions and recommendations concerning an institution's organizational structure and administration, educational programs, financial resources, faculty qualifications, library resources, student body characteristics, physical plant features and vital areas for institutions of higher learning. Also included are remarks prepared by institution officials to respond to the committee's observations and suggestions.

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Permanent.

#### **12-804.6. Meeting Minutes (Non-Executive Levels)**

**A. Description:** Records of meetings held by non-executive level staff. Information includes agenda, place, date, list of attendees and a summary of discussions and decisions. Also included are informational attachments such as reports, proposals, memoranda and other information distributed to officials and staff for use in making decisions for an institution.

**B. Retention:** Until no longer needed for reference; destroy.

#### **12-804.7. Administrative Bulletins**

**A. Description:** Used to record and circulate information concerning policies, procedures, and administrative activities of a college or university. Information includes administrative directives, staff and faculty assignments, educational opportunities, new policies and policy changes, academic program requirements and other related information.

**B. Retention:** Until no longer needed for reference; destroy.

#### **12-804.8. Administrative Regulations**

**A. Description:** Issued by the Commission on Higher Education and used for the general operation of college or university programs. Information includes regulations, instructions or other issuances that establish methods to administer a college or university's mission, functions, and responsibilities.

**B. Retention:** Until superseded and no longer needed for reference, destroy.

#### **12-804.9. Annual Reports**

**A. Description:** Published report of college or university activities made annually to the General Assembly. Information includes financial summaries, objectives, goals, and other data concerning the college or university during the fiscal year. Most annual reports contain an organizational chart, along with brief narratives, and statistical information concerning each major section and division of the college or university.

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Permanent

#### **12-804.10. Attorney General Opinions**

**A. Description:** Official opinions issued by the Attorney General or his assistants. These are legal interpretations written upon request of a college or university to guide in enforcing and obeying the law. Also included is related correspondence. This series is scheduled for permanent retention by the State Archives through the Attorney General's office.

**B. Retention:** Until superseded or no longer needed for reference; destroy.



#### **12-804.11. Calendars**

**A. Description:** Used to keep track of work related events and commitments of college or university staff members. Information includes daily appointment books, calendars, and other records indicating dates for meetings and work activities.

**B. Retention:** Until no longer needed for reference; destroy.

#### **12-804.12. Central Supply Request**

**A. Description:** Document copies of central supply requests processed for a college or university. Information includes date, department account code, requisitioner, item number, quantity ordered, quantity issued, description, price, extension, deliver to, and location.

**B. Retention:** 3 years, destroy.

#### **12-804.13. Committee Files**

**A. Description:** Document actions and recommendations of committees, established to provide advice on policy matters and other management topics. Information consists of letters, memoranda, and other paper work concerning budget matters, maintenance of facilities, curriculum development, utilization of state/federal funds, purchase or sale of property and other subjects related to the institution's administration, operation, and academic programs.

**B. Retention:**

(1) Office: 5 years.

(2) College or University Archives: Permanent.

#### **12-804.14. Computer Utilization Summaries**

**A. Description:** Generated to determine staff use of an institution's computer systems. Information details the total time the system is used, amount of individual staff time the system is used, and total time work stations are used (including job queue and printers).

**B. Retention:** 3 years; destroy.

#### **12-804.15. Conferences, Workshops, And Seminars File (College or University Sponsored)**

**A. Description:** Files concerning each conference, workshop or seminar sponsored by the college or university. Information includes registration material, letters, brochures, lists of restaurants, hotel listings, and other related information.

**B. Retention:** Until no longer needed for reference; destroy.

#### **12-804.16. Deeds And Leases To College or University Property**

**A. Description:** Document deeds and leases to real property owned or used by the state. Information includes description and location of the property, maps, sale agreements, land acquisition forms, deeds, lease agreements, and related correspondence.

**B. Retention:**

(1) Office: Until property is sold, disposed of, or relinquished.

(2) College or University Archives: Permanent.

#### **12-804.17. Grant Files (Active and Inactive)**

**A. Description:** Used to retain information concerning financial grant assistance received by a state supported college or university. Files contain some or all of the following documents: statement of budget and expenditures, notices of grants awarded, financial status reports, authorization for transfer of grant funds, draft copies of detailed budgets for programs, copies of federal assistance applications, correspondence and memoranda. These documents concern construction of facilities, educational grants, student loan and work study programs, financial assistance for veterans and career professionals, and other related information.

**B. Retention:** 3 years after becoming inactive; destroy.

**12-804.18. General Correspondence and Reference File (Non-Executive Levels)**

**A. Description:** Routine correspondence and reference materials created or retained by non-executive level staff. Letters and memoranda reflect communications regarding program procedures, general work activities, and responses to information requests. Also included are copies of policy and procedure statements, program information, reports and other related material.

**B. Retention:** Until no longer needed for reference; destroy.

**12-804.19. Information Technology Plans**

**A. Description:** Prepared by state colleges and universities to outline their anticipated needs for information technology. Plans reflect information requirements, equipment needs, service specifications, cost, and technology purchase requests. This series is scheduled for permanent retention by the State Archives through the State Budget and Control Board's Office of Research and Statistics.

**B. Retention:** 3 years; destroy.

**12-804.20. Internal Management Policy And Procedure Files**

**A. Description:** Policies, procedural directives and manuals developed by an institution to govern its internal management functions such as payroll, procurement, personnel administration, equipment inventory, and other internal management matters.

**B. Retention:**

- (1) Office: Until superseded, updated, or no longer needed for reference.
- (2) College or University Archives: Permanent.

**12-804.21. Legislative Reference Files**

**A. Description:** Records pertaining to bills, prospective legislation and laws. Information includes bill and supporting material concerning proposed legislation, such as newspaper clippings, reports, and correspondence. The series also includes copies of approved legislation.

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Permanent.

**12-804.22. Litigation Case Files**

**A. Description:** Document judicial proceedings, which involve the college or university. Files include some or all of the following documents: affidavits, summons and complaints, responses, orders of dismissals, notice and general appeal, laws and regulations applying to a particular case, legal briefs, transcripts of proceedings, orders, court decisions, and related information. Court records in this series are available in the court having jurisdiction over these cases.

**B. Retention:** 10 years after the case is closed, destroy.

**12-804.23. Mailing Lists**

**A. Description:** Used to record the names and addresses of clients and other persons with whom the college or university has regular contact. Information includes mailing lists, and registers concerning employees, officials, and constituents, whom college or university staff communicate with regularly.

**B. Retention:** Until superseded; destroy.

**12-804.24. Management Information Reports**

**A. Description:** Provide information concerning general administration, facilities management and student enrollment. Reports concern surveys, facility inventories, student enrollment figures and projections, and other related topics.

**B. Retention:** Until superseded and no longer needed for reference; destroy.

#### **12-804.25. Motor Vehicle Insurance**

**A. Description:** Record of motor vehicle insurance retained by a college or university. It includes insurance policies which list effective policy dates, amounts of coverage, number of vehicles covered, and rate. Also included are notes, correspondence and other related information.

**B. Retention:** 1 year and until renewal of insurance policy; destroy.

#### **12-804.26. Motor Vehicle Operations And Maintenance Files**

**A. Description:** Files of motor vehicle operations and maintenance. Included are requests for institution vehicles, vehicles inspection/use reports, motor vehicle accident reports, motor vehicle inventories, and other related information.

**B. Retention:** 3 years; destroy.

#### **12-804.27. Motor Vehicle Purchase File**

**A. Description:** Used for reference and vehicle management. Information includes vehicle property receipt, purchase orders, bid worksheets, institution vehicle inventory forms, motor vehicle titles, vehicle insurance information, and other related information.

**B. Retention:** 3 years after vehicle is disposed of, destroy.

#### **12-804.28. Organizational Charts**

**A. Description:** Reflect the organizational structure of a college or university and its departments. Information includes a diagram which shows a systematic and symbolic arrangement of an institution's departments and program areas by name and function.

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Permanent (1 copy).

#### **12-804.29. Permanent Improvement Files**

**A. Description:** Files concern construction of and permanent improvements to the college or university's facilities. Information includes project proposal, capital improvement requests, authorizations to execute construction contracts, cost estimates, construction contracts, related memoranda, correspondence, blueprints, and specifications. Portions of this series created in 1980 and later are scheduled for permanent retention by the State Archives through the State Engineer's Office of the State Budget and Control Board.

**B. Retention:**

- (1) Records created before 1980:
  - (a) Office: Until completion of construction project and no longer needed for reference.
  - (b) College or University Archives: Selection of needed documentation. Permanent.
- (2) Records created during and after 1980: Until completion of construction project and no longer needed for reference; destroy.

#### **12-804.30. Photographs**

**A. Description:** Photographic proofs and negatives of college or university activities. Photographs may include identification according to time, place, and college or university activity.

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Permanent.

#### **12-804.31. Property Inventories**

**A. Description:** Itemized lists of fixed assets (except land and buildings) completed by institutions. Information includes inventories of equipment, furniture, and other similar property.

**B. Retention:** 3 years; destroy.

### **12-804.32. Public Relations File**

**A. Description:** Information concerning college or university publicity. Included are press releases, biographies, newspaper clippings, promotional materials, bulletins, broadcast scripts, photographs, visual documentation, and other related items.

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Selection of needed documentation. Permanent.

### **12-804.33 Publications**

**A. Description:** Printed material published by state colleges or universities for internal and external distribution. This series includes directories, manuals, research reports, surveys, and other college or university publications (except annual report).

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Selection of needed documentation. Permanent.

### **12-804.34. Contracts**

**A. Description:** Used to document contractual relationships between the college or university and service providers. Information includes the contract with description of their services to be provided, dates of the contract, signatures, and correspondence.

**B. Retention:** 3 years after cancellation or expiration of the contract; destroy.

### **12-804.35. Records Management Files**

**A. Description:** Files related to an institution's records management program. Included are records retention schedules, guidelines, information concerning records inventory and scheduling, records transfers, microfilm applications, disposal notices, and other related data. Portions of this series are scheduled for permanent retention by the State Archives.

**B. Retention:** Until superseded and no longer needed for reference; destroy.

### **12-804.36. Speeches**

**A. Description:** Drafts and final copies of speeches given by Administrative Services staff below the college or university president, provost, and vice presidents' level. Speeches concern program procedure, work activities, and related topics.

**B. Retention:** Until no longer needed for reference; destroy.

### **12-804.37. Surveys/Maps**

**A. Description:** Developed by an institution to carry out its mission and function. Information concerns roads, boundaries, property lines, corners, monuments, road marker placements, structures, sites, and other related data.

**B. Retention:**

- (1) Office: Until no longer needed for reference. Microfilm optional.
- (2) College or University Archives: Permanent.

### **12-804.38. Telephone Logs**

**A. Description:** Listing of telephone calls made by college or university personnel for a particular time period. Logs reflect date, time, caller, recipient of call, and nature of business discussed.

**B. Retention:** 3 years and until reconciliation of telephone billing; destroy.

### **12-804.39. Telephone Bills**

**A. Description:** Provide a monthly statement of charges for telephone calls billed to a college or university. Information includes telephone number charged with call, account number, type of call, date of call, time, number of minutes, destination of telephone call, and charge.

**B. Retention:** 1 month after verification of charges; destroy.

#### **12-804.40. Work Order Request File**

**A. Description:** Document copies of work order requests for all program classifications of the institution. Information on the work order requests include date, site of work, service or modifications requested, estimated cost, budget code to be charged, person coordinating the work, date needed, signature of requestor, signatures of approval, date request received by plant support, estimated completion date, and date completed.

**B. Retention:** 3 years, destroy.

#### **12-804.41. Work Reports**

**A. Description:** Reports of work activities performed by personnel carrying out regular or special duties. Series does not include published project reports or reports to the Governor or General Assembly. These documents reflect dates, person responsible for report, and a running account of activities performed.

**B. Retention:** 2 years or until summarized or superseded; destroy.

### **Subarticle 5. Personnel (Human Resource Management)**

**12-805.1 through 12-805.5** (*Reserved for future use.*)

#### **12-805.6. Affirmative Action Plans and Progress Reports**

**A. Description:** Affirmative Action Plans prepared by state institutions and Progress Reports used by the State Human Affairs Commission to monitor the implementation of these plans.

Affirmative Action Plans reflect college or university-projected policies, procedures, and practices to achieve the goal of a non-discriminatory employment system. Also included are statistics, analysis of the current and projected work force composition by race, sex, and comments. The semi-annual Progress Reports consist of updated employment data analysis by race and sex, a summary of personnel actions which reflect a breakdown of college or university positions by race, sex, analysis, and comments. Also included is correspondence concerning the Affirmative Action Plans and their implementation. Portions of this series are scheduled for permanent retention by the State Archives through the State Human Affairs Commission.

**B. Retention:** 3 years; destroy.

**12-805.7.** (*Reserved for future use*)

#### **12-805.8. Dual Employment File**

**A. Description:** Concerns authorizations allowing institution employees to accept secondary employment. Information concerning dual employment authorizations includes employee's name; employers' involved; title of second occupation; date and signature of employee and supervisors.

**B. Retention:** Until no longer needed for reference; destroy.

#### **12-805.9 Employer Status Reports (Unemployment Compensation)**

**A. Description:** Reports from an individual college or university to the Employment Security Commission which are used by the Employment Security Commission to determine the liability or non-liability of a college or university for payment of unemployment compensation.

Information includes the Employer Status Report, Notice of Liability sent to the college or university from the Employment Security Commission, Notice of Contribution for the next calendar year, and related memoranda and correspondence concerning changes in college or university unemployment compensation accounts and liability. This record is scheduled through the Employment Security Commission.

**B. Retention:** 6 years; destroy.

**12-805.10. Employment Applications (Not Hired)**

**A. Description:** Completed employment applications and personal resumes of applicants who were not hired by a college or university. Information includes applicant's name, address, Social Security Number, position applied for, educational background, work experience, and other related information.

**B. Retention:** 2 years from the date of rejection or making of the record; destroy.

**12-805.11. Employment Data Analysis by Sex and Race**

**A. Description:** A statistical breakdown of information concerning employees by type, number, salary, and percentages of minority personnel. Information includes type of employees such as officials/administrators, professionals, technicians, office/clerical, service, maintenance, racial classifications, total work force, and work force summary.

**B. Retention:** 2 years from the date of the personnel action involved or the making of the record; destroy.

**12-805.12. Equal Employment Opportunity Report**

**A. Description:** Documents the job classification and compensation of all college or university personnel. Information includes class code, slot, name, Social Security Number, employee number, pay rate, state/federal funding, race and sex.

**B. Retention:** 2 years from the date of the personnel action involved or the making of the record; destroy.

**12-805.13. Equal Employment Opportunity Reporting and Personnel Research Forms**

**A. Description:** Forms completed by applicants for state employment as part of their employment application. Information includes statistics on job applicants which are reported annually to the State Human Affairs Commission. The form, which is detached from the employment application, lists the applicant's name, date, Social Security number, date of birth, position applied for, race, sex, and marital status.

**B. Retention:** 2 years from the date of the personnel action involved or the making of the record; destroy.

**12-805.14. Faculty Contracts (Full and Part Time)**

**A. Description:** Document contracts between faculty members and a college or university. Contracts reflect name of instructor or professor; Social Security Number; position; subject taught; employment dates; total number of hours; hourly rate; total contract amount and budget code; date; signatures of the instructor or professor, division chairman and academic dean.

**B. Retention:** 3 years after termination of contract and until no longer needed for reference; destroy.

**12-805.15. Grievance Files**

**A. Description:** Document grievance proceedings initiated by employees in classified positions. Information includes grievance filing, decisions rendered at each level of the grievance procedure, grievance and appeal procedures for the college or university and for all state employees, and the final decision rendered by the State Employee's Grievance Committee. Portions of this series are scheduled through the State Budget and Control Board's Office of Human Resources.

**B. Retention:** 10 years after resolution of all grievance issues; destroy.

**12-805.16. Job Announcements (Vacancies)**

**A. Description:** Announcements concerning job openings in institutions. Information includes title of position, salary or grade range, description of job duties, closing date, and to whom applications should be directed.

**B. Retention:** 2 years after position is filled or announcement is superseded or updated; destroy.

**12-805.17. Job Classifications**

**A. Description:** A listing of all job positions classified by the Division of Human Resource Management. Information includes position qualifications, pay grades, and duties for positions in state service. This series is scheduled through the State Budget and Control Board’s Office of Human Resources.

**B. Retention:** Until termination of position; destroy.

**12-805.18. Leave Records**

**A. Description:** Record of the amount of leave earned and taken by college or university employees. Information includes employee’s name, type of leave (annual, sick, other), service date, Social Security Number, amount of leave earned and charged, and leave balances for the period covered.

**B. Retention:** 3 years; destroy.

**12-805.19. Leave Slips**

**A. Description:** Forms completed by college or university employees to request time off from work. Information includes employee’s name, Social Security Number, type of leave, number of days or hours requested, date requested, and employee’s signature.

**B. Retention:** 3 years; destroy.

**12-805.20. Log and Summary of Occupational Injuries and Illnesses**

**A. Description:** Record of work-related injuries, illnesses, and deaths. Information includes case or file number, date of injury or onset of illness, employee name, occupation, department, description of injury or illness, fatalities, non-fatal injuries, injuries with lost workdays, injuries without lost workdays, and other related information.

**B. Retention:** 5 years following the end of the calendar year to which they relate; destroy.

**12-805.21. Personnel Administrative File**

**A. Description:** File concerns administration of personnel policy. Information includes correspondence, reports, memoranda, and other records regarding personnel procedures.

**B. Retention:** Until superseded, updated, or no longer needed for reference; destroy.

**12-805.22. Personnel Files (Active & Terminated)**

**A. Description:** Personnel files of current and former employees of the college or university. Information includes employment applications, letters of recommendation, employee awards, resumes, performance appraisals, employee profile, position descriptions, insurance information, dual employment information, resignation and termination records, correspondence, and other related information.

**B. Retention:** 15 years after termination of employment; destroy.

**12-805.23. Personnel Policies and Procedures**

**A. Description:** Policies and procedures issued by the college or university or the State Budget and Control Board’s Office of Human Resources. Information includes employment application policy, classification and compensation plan, explanation of performance appraisal system, reduction in force procedures, grievance policies, equal employment opportunity guidelines, termination procedure, workmen’s compensation plan, other procedures issued by a college or university and/or the Office of Human Resources. Portions of this series are scheduled for permanent retention by the State Archives through the State Budget and Control Board’s Office of Human Resources.

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Permanent.

#### **12-805.24. Statewide Personnel Information and Reporting System Files**

**A. Description:** Used to monitor employment, salary adjustment, performance reviews, terminations, and other personnel activity. Reports include: Alphabetical Listing of Employees Sequenced by College or university, Employee Name; Employee Roster Sequenced by Grade, Class Code, and Name; Temporary Employment Roster; Gross Salary Change Report; Termination Analysis, Performance Review; Summary Report; Report on Salary Change Code-Merit Increase; Reviews Report-Classified Positions-Review Sequence; Vacancies Report-All Positions; and other related records.

**B. Retention:** Until superseded or updated; destroy.

#### **12-805.25. Time and Attendance Records**

**A. Description:** Records concerning time worked by college or university employees during a pay period. Information includes employee's name, section or organization unit, employee number, pay period, total time worked, and employee's signature.

**B. Retention:** 3 years; destroy.

#### **12-805.26. Vacancies File**

**A. Description:** Documents position vacancies in a college or university. Information includes college or university's name, grade, classification title, salary range, hours worked per week, and pay rate of position.

**B. Retention:** Until superseded or updated; destroy.

### **Subarticle 6. Accounting**

#### **12-806.1 through 12-806.4 (Reserved for future use)**

#### **12-806.5. Authorized Signature List**

**A. Description:** This series is used to record signature authorization sheets from all departments and offices. Information includes department name, effective date, typed name of authorized individual, signature of authorized individual, signature of approving authority.

**B. Retention:** Until no longer needed for reference; destroy.

#### **12-806.6. Bank Deposits and Cancelled Checks**

**A. Description:** Document the deposit of cash and checks into institution's bank accounts. Information includes deposit slips, bank statements, receipts, letter of credit for recording federal deposits, cancelled checks and other related information.

**B. Retention:** 3 years; destroy.

#### **12-806.7. Cash Receipts File and Journal**

##### **(Computer and non-computer generated records)**

**A. Description:** Cash receipts received by an institution from customers for the sale of services and commodities. Cash receipts reflect amount of sale, description of services or items sold, amount of money received, and sale date and may be computer or non-computer generated records. The Cash Receipts Journal reflects date, sale description, purchase authorization number, and may be generated manually or by computer.

**B. Retention:** 3 years; destroy.

#### **12-806.8. Computer Output Reports From Accounting Financial Data Bases (Non-Permanent)**

**A. Description:** Financial reports (regardless of medium) generated from a computer data base for use in accounting for the receipt/disbursement of financial resources for an institution. The reports may be generated daily, weekly, monthly, annually, or at year end closeout. They can be a regular report or a query to the data base.

**B. Retention:** Until updated, superseded, or no longer needed for reference; destroy.



**12-806.9. Computer Output Reports From Accounting Financial Data Bases  
(Permanent)**

**A. Description:** Financial reports generated from a computer data base for use in accounting for the receipt/disbursement of financial resources for an institution. These are cumulative fiscal year end closeout reports summarizing the financial activities of the institution by providing final year-to-date summary accounting data and a permanent audit trail for all receipt and disbursement transactions affecting any and all funds and accounts. Types of reports include: year end general and subsidiary ledgers sorted by account, and summary of expenditures by program, fund, and object.

**B. Retention:**

- (1) Office: 3 years. Microfilm.
- (2) College or University Archives: Permanent.

**12-806.10. Disbursement Journal**

**A. Description:** A listing of disbursement vouchers authorizing payment of expenses incurred. Information includes voucher number, date, amount of disbursement, and to whom payment was made.

**B. Retention:** 3 years; destroy.

**12-806.11. Disbursement Vouchers**

**A. Description:** Official copies of vouchers prepared in order to request payment for institution expenditures. Information includes disbursement voucher number, date, description of transaction, amount, and total.

**B. Retention:** 3 years; destroy.

**12-806.12. Financial Report (Annual)**

**A. Description:** Published annual summary of an institution's financial transactions. Information includes assets, liabilities, revenue, and expenditures.

**B. Retention:**

- (1) Office: 3 years.
- (2) College or University Archives: Permanent.

**12-806.13. Interdepartmental Transfer (IDT) Credit Invoices**

**A. Description:** Prepared by an institution to bill another state agency or institution for services rendered. Also used to record transfer of funds between state agencies and institutions. Information includes name of agency or institution, mailing address, city, code number, month, year date, itemization of payments, adjustments, total, invoice number, fiscal year, from department credit to division, warrant numbers and date, organizational number, account number, account title, fiscal year, transaction code and amount.

**B. Retention:** 3 years; destroy.

**12-806.14. Interdepartmental Transfer (IDT) Vouchers**

**A. Description:** Prepared and used by an institution to request transfer of funds to another agency or institution to pay for services rendered. Information includes voucher number, date, payee, charged to, warrant number and date, authorization, official title of person authorizing payment, organizational number, fiscal year, account number, account with, transaction code, amount charged, and total amount charged.

**B. Retention:** 3 years; destroy.

**12-806.15. Mail Receipts**

**A. Description:** Document registered and certified mail receipts received. Registered mail receipts reflect following information: number of articles, addressee address, receipt date, values, surcharges, total number of pieces listed and received. Certified mail receipts indicate type of

service, whether delivery is restricted, addresses, certification number, insured number, date postmarked and signature.

**B. Retention:** 3 years; destroy.

#### **12-806.16. Non-Automated General and Subsidiary Ledgers (Permanent)**

**A. Description:** General and subsidiary ledgers including chart of accounts which provide final year-to-date summary accounting data and a permanent audit trail for all fiscal receipt and disbursement transactions affecting any and all the institution's funds and accounts, including receipts and expenditures from all revenue sources, both public and private.

**B. Retention:**

- (1) Office: 3 years. Microfilm Optional.
- (2) College or University Archives: Permanent.

#### **12-806.17. Purchase Orders and Requisitions**

**A. Description:** Official copies of purchase orders/requisitions used to authorize the purchase of supplies, equipment and services. Included are purchase orders, purchasing requisitions, and related invoices. Includes emergency, sole source, and trade-in records.

**B. Retention:** 3 years; destroy.

#### **12-806.18. Receipt Books**

**A. Description:** Record of funds received directly from patrons and applicants in payment of such expenses as billable services for patrons, licensing fees, examination charges, and other fees received. Information includes receipt date, receipt number, receipt of, amount of payment, and account name and/or account number.

**B. Retention:** 3 years; destroy.

#### **12-806.19. Small and Minority Business Reporting File (Active and Inactive)**

**A. Description:** Reports prepared quarterly by an institution to ensure that business owned and operated by minorities are afforded the opportunity to participate in the procurement process of the state. Information includes Budget Expenditure/Construction/Renovation Information Forms and Procurement Information Forms.

**B. Retention:** 5 years after becoming inactive, destroy.

#### **12-806.20. Surplus Property**

**A. Description:** Filed by an institution with the State Budget and Control Board, Division of General Services, Materials Management Office regarding the disposition of surplus property. Information includes date acquired, cost, property category, description, manufacturer's identification number, and institution's identification number.

**B. Retention:** 3 years; destroy.

#### **12-806.21. Table Reports (Accounting)**

**A. Description:** Define the meaning of code numbers and fund groups used in transactions processed through the institutions automated financial accounting system. Examples include Descriptor Table Listing, Transaction Code Decision Table Listing and Table Maintenance Audit Report. The specifications of the reports of each in situation may vary.

**B. Retention:**

- (1) Year End Cumulative Table Reports:
  - (a) Office: 3 years. Microfilm;
  - (b) College or University Archives: Permanent.
- (2) Other Table Reports: Until updated, superseded, or no longer needed for reference; destroy.

**12-806.22. Travel Vouchers**

**A. Description:** Vouchers prepared to claim reimbursement for employee travel expenses. Information includes name, address, Social Security Number, agency and amount to be reimbursed.

**B. Retention:** 3 years; destroy.

**12-806.23. Vehicle Trip Logs**

**A. Description:** Logs completed to monitor mileage traveled in state vehicles. Information includes name of institution, driver's name, beginning and ending odometer readings, and comments concerning problems with the vehicle. May also include travel reimbursement and backup documentation.

**B. Retention:** 3 years; destroy.

**12-806.24. Vendor Code Requests**

**A. Description:** Forms prepared to request a vendor code from the State Budget and Control Board, Division of General Services, when the institution wants to purchase goods or services from a vendor not presently listed in the state purchasing system. Information includes vendor name, address, and new number (assigned by the Division of General Services, State Procurement).

**B. Retention:** Until superseded, updated, or no longer needed for reference; destroy.

**12-806.25. Vendor/Commodity Code Listing Books**

**A. Description:** Books concerning master code listings of vendors and commodities listed in the state purchasing system. Information includes vendor name, address, and code number. The commodity book lists commodity description, unit of measurement, and code number.

**B. Retention:** 3 years; destroy.

**12-806.26. Warranties and Service Agreements**

**A. Description:** Document service and maintenance cost on equipment. Information includes service contracts, records of service performed on equipment, costs, and related correspondence and memoranda.

**B. Retention:** 3 years after termination of agreement; destroy.

**12-806.27. Journal Entries**

**A. Description:** Used to make adjustments and corrections to accounting records. Information includes entry numbers, account numbers, funds, debits, credits, description, prepared by, and posted by.

**B. Retention:** 3 years, destroy.

**Subarticle 7. Payroll**

**12-807.1 through 12-807.4** *(Reserved for future use)*

**12-807.5. Computer Output Reports From Payroll Financial Data Bases (Non-Permanent)**

**A. Description:** Financial reports (regardless of medium) generated from a computer data base for the disbursement of resources of the institution. The reports may be generated daily, weekly, monthly, annually, or at year end closeout. They can be a regular report or a query to the data base.

**B. Retention:** Until updated, superseded, or no longer needed for reference; destroy.

**12-807.6. Computer Output Reports From Payroll Financial Data Bases (Permanent)**

**A. Description:** Financial reports (regardless of medium) generated from a computer data base for the disbursement of resources of the institution. These are cumulative fiscal year end closeout reports summarizing the financial activities of the institution by providing final year-to-date

summary accounting data and a permanent audit trail for all disbursement transactions affecting any and all funds and accounts.

**B. Retention:**

- (1) Office: 3 years. Microfilm.
- (2) College or University Archives: Permanent.

**12-807.7. Electronic Funds Transfer Authorizations**

**A. Description:** Authorizations to deposit employee payroll earnings into employee bank accounts through direct deposit. Information includes employee name, name of financial institution, copy of deposit slip, and other related information.

**B. Retention:** 3 years after termination, cancellation, or change of authorization; destroy.

**12-807.8. Employer Contribution Reports**

**A. Description:** Created by the South Carolina Employment Security Commission and used to verify earnings of the employees. Information includes name and address of the employer, number of persons employed during the quarter, how remittance is paid, number of places of business in South Carolina covered by the report and signature, title, date of individual filling out the report, and other documents concerning taxable and non-taxable wages of employees. This record is scheduled through the Employment Security Commission.

**B. Retention:** 3 years; destroy.

**12-807.9. Health, Dental, And Optional Life Insurance Reports**

**A. Description:** Generated by the State Budget and Control Board, Employee Insurance Program to reconcile the monthly health, dental, and optional life insurance bills of the agency. Information includes agency name, address, group identification number, billing period, subscriber count, premium amount (employer/employee shares), source of funds, premium due and other related information. This record is scheduled through the State Budget and Control Board, Employee Insurance Program.

**B. Retention:** 3 years; destroy.

**12-807.10. Payroll Adjustment Forms**

**A. Description:** Forms to deduct money from employees' wages. Information includes name, Social Security number, amount, description of deduction, payroll period beginning date and other related information.

**B. Retention:** 3 years after termination of employment or cancellation of the authorization; destroy.

**12-807.11. Savings Bond Deductions File**

**A. Description:** Used to record the purchase of savings bonds by employees. Information includes employee name, Social Security number, agency number, agency name, and amount of bond. Also included are United States Savings Bond Election Forms.

**B. Retention:** 3 years; destroy.

**12-807.12. Table Reports (Payroll)**

**A. Description:** Define the meaning of code numbers and fund groups used in transactions processed through the institutions automated financial accounting system. Examples include Descriptor Table Listing, Transaction Code Decision Table Listing and Table Maintenance Audit Report. The specifications of the reports of each institution may vary.

**B. Retention:**

- (1) Year End Cumulative Table Reports:
  - (a) Office: 3 years. Microfilm.
  - (b) College or University Archives: Permanent.
- (2) Other Table Reports: Until updated, superseded, or no longer needed for reference; destroy.

### **12-807.13. Workers' Compensation Insurance Files**

**A. Description:** Used to document the payment of workers' compensation insurance premiums. Information includes an interdepartmental transfer for payment of premiums, and a form to the State Workers' Compensation Fund reflecting the total amount due and payment due date with attached memos. Also included are Workers' Compensation Insurance Quarterly Report(s) reflecting the code, agency, source of funds, total salaries for the quarter, amount of payment due, totals, certified correct and authorizing signatures.

**B. Retention:** 3 years; destroy.

### **12-807.14. Employee Payroll Records**

**A. Description:** Used to document employees' payroll earnings and deductions. This series consists of payroll vouchers, payroll deduction records, cancelled payroll checks, and related documents. Information includes employees' names, name of institution, pay periods, code indicators, gross earnings, net earnings, and signature and title of approving authority. Also included are the types and amounts of payroll deductions.

**B. Retention:** 3 years; destroy.

### **12-807.15. W-2 Form Wage and Tax Statement**

**A. Description:** Used to record individuals' annual federal and state withholding tax. Information includes employer's name and identification number, employees' names, addresses, Social Security numbers, amount of taxes withheld, and total wages paid.

**B. Retention:** 4 years after the due date of wage and tax statement; destroy.

### **12-807.16. Social Security Reports**

**A. Description:** Used to document employees' Social Security contributions. Information includes employees' names, Social Security numbers, Federal Insurance Contribution Act (FICA) amounts, year-to-date taxable and non taxable income, and federal and state income tax amounts.

**B. Retention:** 3 years; destroy.

### **12-807.17. Standard Retirement System Quarterly and Monthly Reports**

**A. Description:** Used to document state employees' retirement contributions on a quarterly and monthly basis. Information includes employer's name, employees' names, Social Security numbers, active member register numbers, non-member numbers, amounts of contribution, service credits, and related information.

**B. Retention:** 3 years; destroy.

### **12-807.18. Payroll Check Register**

**A. Description:** Used to record the institution's payroll disbursements. Information includes name of employee, Social Security number, institution number, check number and related information.

**B. Retention:** 10 years and until no longer needed for reference; destroy.

### **12-807.19. Payroll Register**

**A. Description:** Used by an institution to reference year-to-date pay and deductions from paychecks. Information includes employer's name, employees' names, Social Security numbers, gross pay, tax information, Federal Insurance Contribution Act amounts, retirement, insurance, net pay, and related information.

**B. Retention:** 10 years and until no longer needed for reference; destroy.

## **Subarticle 8. Internal Auditing**

**12-808.1 through 12-808.4** *(Reserved for future use)*

### **12-808.5. Audit Report**

**A. Description:** Documents the final financial, operational, and compliance audit findings for the institution or its departments. Information includes background information, subject of the audit, findings, and recommendations.

**B. Retention:** 3 years and until no longer needed for reference; destroy.

### **12-808.6. Working Papers**

**A. Description:** Used to conduct periodic financial, operational, and compliance audits of all offices. Information includes pre-audit research and planning, analysis sheet, suggestion sheet, entrance/exit conference, computer software applications, findings, recommendations, inventory of property, organizational control review, and internal control questionnaire.

**B. Retention:** 3 years and until no longer needed for reference; destroy.

## **Subarticle 9. Student Affairs**

**12-809.1 through 12-809.4** *(Reserved for future use)*

### **12-809.5. Continuing Education Student Records**

**A. Description:** Document the registration and enrollment of students in continuing education courses. Information includes student's name, Social Security Number, sex, ethnic background, date of birth, highest education level attained, type of work, years of employment, permanent address, courses registered for and signature of student.

**B. Retention:** Until no longer needed for reference; destroy.

### **12-809.6. Degree Applications**

**A. Description:** Document requests for an earned degree from a state college or university. Information includes student number, name, signature, local address, degree applied for, diploma ordered, and a list of courses not yet completed but needed for graduation.

**B. Retention:** 1 year after graduation or date of last attendance; destroy.

### **12-809.7. Grade Sheets/Reports**

**A. Description:** Used to record grades for each college or university student enrolled in a specific course at the end of each semester. The grade sheet/report reflects the following information: student number, student name, course title, semester, department, course number, section, instructor, grade and signature of the instructor.

**B. Retention:** 1 year after date distributed; destroy.

### **12-809.8. Official Transcripts (Graduate And Undergraduate)**

**A. Description:** Used to record the official internal academic transcript of students attending a state college or university. These records include such information as name, identification number, major, class, courses taken, grades received, dates of attendance and type of degree awarded (if any).

**B. Retention:** 75 years after graduation or date of last attendance; destroy.

**12-809.9.** *(Reserved)*

### **12-809.10. Scholarship And Other Institutional Financial Aid Program File**

**A. Description:** Documents information on scholarships and financial aid activities at the institution. Information concerning notifications to donors and specifics of financial aid includes memoranda, correspondence, requirements for financial aid recipients, summaries of scholarship and financial aid activity, and other related information.

**B. Retention:** Until no longer needed for reference; destroy.

**12-809.11. Student Admission and Enrollment Files**

**A. Description:** Document a student's acceptance and matriculation at a state college or university. Information includes but is not limited to student applications, external transcripts from high schools, or other colleges and universities, letters of recommendation, registration forms, drop/add sheets, forms concerning removal of incomplete grades, guidelines concerning student classification, graduation check off sheets and convenience copies of student loan information.

**B. Retention:**

- (1) Accepted Student Records: 5 years after graduation or date of last attendance; destroy.
- (2) Rejected Student Records: 1 year; destroy.

**12-809.12. Student Financial Aid Records**

**A. Description:** Used to maintain the official record of accounts for grants and loans. The series consists of applications, tax return for student and/or parent, verification work sheet, student aid report, student loan application and promissory note, federal work study packet, financial aid approved or rejected, and related information.

**B. Retention:**

- (1) Approved Financial Aid Records:
  - (a) Student Loans: Active File: Until loan is cancelled or repaid. Inactive File: 3 years; destroy.
  - (b) Student Grants: 3 years after the last day of the award year or 3 years after the date the institution files its fiscal operations report for that year; destroy.
- (2) Rejected Financial Aid Records: 1 year; destroy.

**12-809.13. Veterans' Files**

**A. Description:** Used to document the academic and enrollment status of students receiving veterans' benefits. Information includes applications for benefits, requests for certification, certificates of release or discharge from active duty, changes of program (study) or location of training, amounts of tuition for students enrolled less than half-time, birth certificates for sons or daughters of deceased veterans, and notices of benefits for guardsmen and reservists.

**B. Retention:** 3 years after termination of enrollment; destroy.

**Subarticle 10. Academic Affairs**

**12-810.1 through 12-810.4** *(Reserved for future use)*

**12-810.5. Administrative File/Correspondence  
(Academic Deans and Department Chairmen)**

**A. Description:** Reflects reference material and letters relevant to the administration of the various academic departments of a state college or university. Information includes correspondence, memoranda, annual reports, self-studies, policy and procedure statements, organizational charts, curriculum information, personnel data and student information.

**B. Retention:**

- (1) Office: 5 years. Microfilm optional.
- (2) College or University Archives: Permanent.

**12-810.6. Meeting Minutes (Academic Deans and Department Chairmen)**

**A. Description:** Records concerning meetings held by academic deans and department chairmen. Information includes names of attendees, names of persons absent, a summary of topics discussed and decisions made.

**B. Retention:**

- (1) Office: 5 years.
- (2) College or University Archives: Permanent.

### **12-810.7. Photographs/Slides/Posters**

**A. Description:** Depict activities in the various academic departments of a state college or university. Included are large framed photographs of individuals and groups, pictures of lecturers, group portraits of professors and students, pictorials of campus scenes, and demonstration slides for instruction.

**B. Retention:**

- (1) Office: Until no longer needed for reference.
- (2) College or University Archives: Permanent.

### **12-810.8. Thesis And Dissertation File**

**A. Description:** Consists of Master's theses and Ph.D. dissertations written in partial fulfillment of the requirements of graduate degrees from the academic departments of the institution. The file includes the official and printed copy of the thesis or dissertation.

**B. Retention:**

- (1) Office: Until no longer needed for reference Microfilm optional.
- (2) College or University Archives: Permanent.

### **12-810.9. Departmental Student Information Files**

**A. Description:** Used by academic departments to monitor students' academic progress. Information includes personal data, activity reports, placement tests, copies of partial transcripts, correspondence, evidence of graduation or last date of attendance, and related information.

**B. Retention:** 5 years after graduation or date of last attendance; destroy.

### **12-810.10. Recruitment Files**

**A. Description:** Document the recruiting process for vacant faculty positions. Information includes curriculum vitae, cover letters, schedule of activities, letters of recommendation for individuals hired, and related information.

**B. Retention:**

- (1) Records of individuals not hired: 2 years from the date of rejection or making of the record, destroy.
- (2) Records of individuals hired: 15 years after termination of employment; destroy.

### **12-810.11. Student Evaluations of Instruction**

**A. Description:** Used for students' evaluations of courses and instructors. Information includes completed evaluation survey sheets, student comments, cover sheets with instructor and student proctor signatures or labels identifying the course and instructor, other identifying information, and survey compilation reports.

**B. Retention:** After completion of program audit and until no longer needed for reference; destroy.

## **Subarticle 11. Athletic Department**

**12-811.1 through 12-811.4** *(Reserved for future use)*

### **12-811.5. Concession/Lease Agreements**

**A. Description:** Document sale of concessions at sports events, use of college or university trademarks for the sale of memorabilia, and rentals for box seating. Information includes athletic concession agreements, revocable nonexclusive licenses to use certain indicia of the college or university, and stadium seating lease agreements.

**B. Retention:** 5 years after termination of lease agreement; destroy.



### **12-811.6. Equipment Files**

**A. Description:** Document the use of sportswear and equipment by student athletes. Information includes equipment room daily activity report, equipment rental charts, statement of lost equipment, and other related information.

**B. Retention:** 4 years; destroy.

### **12-811.7. Recruiting Files**

**A. Description:** Document the recruitment and eligibility of student athletes for participation in the athletics program as governed by applicable guidelines. Information includes official visit of prospective athlete, student-athletes' affirmation of eligibility, national letter of intent, and related forms.

**B. Retention:** 6 years; destroy.

### **12-811.8. Scrapbooks**

**A. Description:** Record publicized athletic events and sports activities at the institution. Information includes clipping from local newspapers and other media concerning athletic events at the college or university.

**B. Retention:**

- (1) Office: 6 years. Microfilm optional.
- (2) College or University Archives: Permanent.

### **12-811.9. Sports Information Files**

**A. Description:** Contain information distributed to the news media concerning sports events at the institution. Information includes box scores, play-by-plays, and team statistics.

**B. Retention:** 5 years and until no longer needed for reference; destroy.

### **12-811.10. Ticket Applications**

**A. Description:** Used to process requests for season and individual game tickets to athletic events. Information includes the applicant's name, address, phone number, and number of tickets requested.

**B. Retention:** 3 years; destroy.

### **12-811.11. Ticket Records**

**A. Description:** Document the control of ticket operations and distribution of tickets for athletic events. Information includes sale of tickets, allocation of tickets, allocations for "away" games, stadium attendance, and related records.

**B. Retention:** Office: 3 years; destroy.

### **12-811.12. Training Room Medical Records (Active and Inactive)**

**A. Description:** Created by physicians and training room staff to monitor student athletes' medical histories during their association with the college or university athletic program. Information includes medical histories, injury complaints, drug testing, and other related data

**B. Retention:**

- (1) Active file: Until student graduates or withdraws from the college or university.
- (2) Inactive file: 10 years; destroy.

## **Subarticle 12. Institutional Development And Research**

**12-812.1 through 12-812.4** *(Reserved for future use)*

### **12-812.5. Appropriation Requests File**

**A. Description:** Documents information compiled by a state college or university's staff to provide the basis for the institution's budget request. State appropriation requests for public institutions of higher learning are based on a formula developed by the Commission on Higher

Education and state colleges and universities. Information concerning this appropriations formula includes utility expenditure summaries, enrollment reports, research and public service program assessments, financial data for staff and faculty salaries, library and facility needs, and other information which serves as a basis for the institution's appropriations request.

**B. Retention:** 3 years; destroy.

#### **12-812.6. Foundation Files**

**A. Description:** Document the administration of college or university foundations. Files may include correspondence, reports, proposals, accounting and financial information, surveys, justifications, and other related information.

**B. Retention:**

- (1) Office: 5 years.
- (2) College or University Archives: Permanent.

#### **12-812.7. Gift Files**

**A. Description:** Document the funding of financial gifts to the college or university and the administration of these funds. Included in this series are financial records, correspondence, memoranda, reports, special stipulations or provisions, and other related information.

**B. Retention:**

- (1) Office: 5 years.
- (2) College or University Archives: Permanent.

#### **12-812.8. Project Grant Awards And Contracts**

**A. Description:** Document grants and contracts awarded to faculty, staff and graduate assistants for sponsored projects. Information includes name of project, award notification, contract number, and other related information.

**B. Retention:** 3 years after expiration of grant funding period or termination of contract and until no longer needed for reference; destroy.

### **Subarticle 13. Library Services**

**12-813.1 through 12-813.4** *(Reserved for future use)*

#### **12-813.5. Interlibrary Loan Request Records (Processed and Unprocessed)**

**A. Description:** Used to record successfully processed interlibrary loan requests and loan requests the staff was unable to process. Information includes patron's name, identification, requested information, and whether the materials or books are available. This series also documents interlibrary loan transactions for patrons of other libraries that use the institution's library system.

**B. Retention:**

- (1) Records for processed requests: 3 years; destroy.
- (2) Records for unprocessed requests: 1 year; destroy.

#### **12-813.6. Library Catalog (Books, Periodicals, and Other Publications)**

**A. Description:** Used as a finding aid to the library holdings. Information includes name of author, title, subject, publisher, publication date, and call number.

**B. Retention:** Until updated or no longer needed for reference; destroy.

#### **12-813.7. Library Fines and Fees**

**A. Description:** Documents money received for library fines, library computer information searches, lost books, and inter library loan requests. Information includes amount of money received, what the money was received for, date, and signature of person receiving fine.

**B. Retention:** 3 years; destroy.

### **12-813.8. Newspaper and Manuscript Collection**

**A. Description:** A collection of documents concerning the state or communities' heritage or culture. Included are Bible records, wills, diaries, letters, photographs, maps, newspapers and other related items.

**B. Retention:** Permanent. Microfilm Optional.

### **12-813.9. Photo Duplication Request Forms**

**A. Description:** Created to document photocopy requests. Forms reflect information concerning copyright restrictions, author, book title, manuscript box and folder number, items to be copied, duplication costs, and patron's signature.

**B. Retention:** 3 years; destroy.

### **12-813.10. Request Cards**

**A. Description:** Document patrons' requests for information on holdings. Information includes call number, collection number, title, location, number of items used, researcher's name, and date.

**B. Retention:** 3 years; destroy

## **Subarticle 14. Alumni Relations**

**12-814.1 through 12-814.4** *(Reserved for future use)*

### **12-814.5. Alumni Fund Raising Files**

**A. Description:** Used to document contributions to the alumni fund and contacts made during fund raising drives. Information includes contributors' names and addresses, telephone numbers, Social Security numbers, dates, contribution amounts, types of contributions (gifts or pledges), methods of payment (check or cash), contact dates, callers' names, and related information.

**B. Retention:** 3 years; destroy.

### **12-814.6. Alumni Fund Reports**

**A. Description:** Used to report information concerning contributions to the alumni fund on a monthly, quarterly or annual basis. Information includes report dates, contributors' names, Social Security numbers, amounts of contribution, types of contribution, giving categories, and related information.

**B. Retention:** 3 years; destroy.

### **12-814.7. Alumni Files**

**A. Description:** Used to retain current information on former students. The series consists of student forms, alumni information forms, and related records. Information includes student names, gender, Social Security numbers, spousal names, addresses, parental or guardian names, alumni status of family members, and evidence of graduation or last date of attendance.

**B. Retention:** 5 years after graduation or last date of attendance; destroy.

## **Subarticle 15. Career Placement and Planning**

**12-815.1 through 12-815.4** *(Reserved for future use)*

### **12-815.5. Student Career Placement and Planning Files**

**A. Description:** Used to assist students in planning career goals and objectives. This series also provides prospective employers with a comprehensive record of students' scholastic and personal data. Information includes career goals, academic credentials, personal data, work experience, honors, distinctions, consent forms for release of information, records regarding graduation or last date of attendance, and related information.

**B. Retention:** 5 years after graduation or last date of attendance; destroy.

### **12-815.6. Job Locator Service Files**

**A. Description:** Used to document placement and tracking of students in part time positions off campus. Information includes annual reports, salary summaries, Equal Opportunity Employment agreements, Job Locator Participant registration cards, unused registration identification cards, lists of students employed in part time jobs and internships, and related information.

**B. Retention:** 3 years; destroy.

## **Subarticle 16. Residence Services**

**12-816.1 through 12-816.4** *(Reserved for future use)*

### **12-816.5. Student Residence Files**

**A. Description:** Used to document occupancy of student residences. Information includes residence hall or apartment applications, housing contracts, contract expiration or termination date, bills/charges for occupancy, room assignment sheets, room or residence condition reports, bills/charges for damages, documentation of room or residence security deposits, deposit transfer forms, deposit refund requests, refund request vouchers, and related information.

**B. Retention:** 3 years after expiration or termination of contract; destroy.

## **Subarticle 17. Health Services**

**12-817.1 through 12-817.4** *(Reserved for future use)*

### **12-817.5. Health Records**

**A. Description:** Used to document health services and/or treatment provided to students, employees and other persons. Information includes medical histories, personal data, examinations, complaints, laboratory test results, diagnoses, identification of injury or illness, dates and types of treatment, physicians' remarks, and an indication of whether the record is for an adult or pediatric patient.

**B. Retention:**

- (1) Records concerning adult patients: 10 years after date of last treatment; destroy.
- (2) Records concerning pediatric patients: 13 years after date of last treatment; destroy.

## **Subarticle 18. Purchasing and Auxiliary Services**

**12-818.1 through 12-818.4** *(Reserved for future use)*

### **12-818.5. Sole Source Document Files**

**A. Description:** Used to document procurements made when there is only one source for the required supply, service, or construction item. These files contain such forms as Justification for Sole Source Procurement and Record of Sole Source Contracts. Information includes types of procurements, the bases for sole source determinations, reasons for vendor selections, dates, governmental body names, authorized signatures, and titles. Also included are purchase order numbers, item descriptions, commodity codes, and prices.

**B. Retention:** 3 years; destroy.

### **12-818.6. Trade-in Document Files**

**A. Description:** Used to document transactions for property traded-in as partial or full payment for an agency purchase. These files may contain forms such as Request for Trade-In Document and Record of Trade-In Sales. Information includes institutions' names, addresses, requestors' names, property locations, institutions' contact persons for viewing property, and indication whether trade-ins are being applied to sole source and new purchases. Also included are commodity codes, descriptions, purchase dates, makes, models, serial numbers, trade-in value, net costs, new items, purchase order numbers, and related information.

**B. Retention:** 3 years; destroy.

### **12-818.7. Emergency Procurement Files**

**A. Description:** Used to document authorized emergency procurement purchases. These files contain such forms as Justification for Emergency Procurement and Record of Emergency Contracts. Information includes types of emergency procurements, vendors' names, the bases for the emergency determinations, dates, reasons for vendor selections, governmental body names, and authorized signatures. Also included are purchase order numbers, dates, item descriptions, commodity codes, and prices.

**B. Retention:** 3 years; destroy.

## **Subarticle 19. Public Safety**

**12-819.1 through 12-819.4** *(Reserved for future use)*

### **12-819.5. Incident Reports**

**A. Description:** Used to record the original report of a felony or incident and pertinent facts surrounding the offense. Information includes agency identification, incident type, case numbers, National Crime Information Center (NCIC) entries, administrative data, property estimates, narratives, names of subjects, names of victims, descriptions of events or incidents, and related information.

**B. Retention:** 5 years or until of no further legal or administrative value, whichever comes later; destroy.

### **12-819.6. Parking Tickets**

**A. Description:** Used to document parking violations. Information includes date and time of violations, automobile license tag numbers, locations, violations, decal numbers and amount of fines.

**B. Retention:** 3 years after fine is paid; destroy.

### **12-819.7. Parking Ticket Appeals**

**A. Description:** Used to document appeals by persons receiving parking tickets. Information includes violations, locations, reasons for appeal, names, addresses, and Social Security numbers.

**B. Retention:** 1 year after completion of appeal process; destroy.

### **12-819.8. Shift Reports**

**A. Description:** Used to document officers' responses to requests for assistance. Information includes times calls are received, dates, names of officers, and brief description of the problem.

**B. Retention:** 5 years or until of no further legal or administrative value, whichever comes later; destroy.

### **12-819.9. Uniform Traffic Collision Reports (Accident Reports)**

**A. Description:** Used to document investigations of motor vehicle accidents occurring on state college and university campuses. Information includes dates, times, county codes, name of town or city, collision locations, conditions and descriptions of motor vehicles, restraining devices used, drivers'/pedestrians' names, drivers'/pedestrians' addresses, administrative data, names of investigating officers, names of reviewing officers, and related information.

**B. Retention:** 3 years; destroy.

### **12-819.10. Motor Vehicle Parking Registration File**

**A. Description:** Used to register student, staff, and faculty motor vehicles for parking. Information include owners' names, make of vehicles, model, year, license plate numbers, decal registration numbers, Social Security numbers, and parking registration fees.

**B. Retention:** After superseded or cancelled and until no longer needed for reference; destroy.