

## **DIVISION 475**

### **Oregon Institute of Technology**

#### **166-475-0005**

As used in division 475, Oregon University System means the Oregon State System of Higher Education as defined in Oregon Revised Statute (ORS) 352.002. This General Schedule prescribes the retention periods for public records created and maintained by the institutions of the Oregon University System. Retention periods apply to the record copy of all public records, regardless of medium or physical format, created or stored by the above specified agencies. Please note the exceptions to this General Schedule listed in OAR 166-030-0026 before disposing of records.

#### **166-475-0010**

##### **Administrative Records**

(1) **Administrative Reports** Records document the annual activity of the institution and its subdivisions. This disposition includes reports prepared for OUS by the president of the institution. Final annual reports may be printed and bound or they may be less formal unpublished documents prepared for limited distribution. Report sections may include but are not limited to administrative activities; goals and objectives achieved; fiscal status; project work performed; personnel activity and accomplishments; facility changes; and related sections. This series may include but is not limited to periodic statistical reports; summarized statistical reports; copies of reports from other units; other working papers; final annual reports; and related documentation and correspondence. (Retention: (a) Permanent for final annual reports and periodic and summary statistical reports not reflected in the final annual report (b) Until superseded or obsolete for all other records, destroy)

(2) **Administrative Rules Records** Records document reviews of and changes to the institution's Administrative Rules and the annual preparation and authorization of the institution's administrative fees. Records may include but are not limited to notices of rule-making with hearing notices which are published in the Oregon Bulletin; documentation of rule change hearings which may include notes, transcriptions, summaries, and tapes; reports to initiators of changes regarding outcome; final rules; Reports of Action to the State Administrative Rule Section including Certificates and Orders for Filing Permanent Administrative Rules with the Secretary of State; Notices of Proposed Adoption including statements on statutory authority, need/principle, documents relied upon, and statement of fiscal impact; lists of proposed fee schedules; reviewers' comments; administrative review reports; meeting notes from the Secretary of State Legislative Council about OAR review meetings; check-off lists; text of old rule with strike outs and changes; indices to OAR revisions; Dept. of Justice memos; and related correspondence. The Oregon Secretary of State holds statewide record copy. (Retention: 10 years after repeal of the rule, destroy)

(3) **Advisory Board Records** Records document the activities of boards and councils that function in an advisory capacity. Boards and councils may have as their charge highly specific or broad areas of concern and include members from outside the institution. This series may include but is not limited to meeting minutes; agendas; reports; notes; working papers; audio recordings; transcriptions; and related documentation and correspondence. (Retention: (a) Permanent for minutes, agendas, reports, and correspondence (b) 3 years for all other records, destroy)

(4) **Agency Relations Records** Records document the institutional interactions with local, state, national, and international government agencies, educational institutions, businesses and groups to gain their assistance with the development and coordination of institution research and instructional programs. This series may include but is not limited to reports; copies of publications; minutes; background information; and related documentation and correspondence. (Retention: 6 years, destroy)

(5) **Association and Organization Advisory Records** Records document the relationship and participation of institution units in professional and educational associations and other organizations. The unit's role may be one of membership on the advisory or administrative board, participation in a task force or subcommittee, or one of membership in consortia. This series may include but is not limited to: promotional information; rules and regulations; reports; proposals and planning records; workshop and conference records; surveys and questionnaires; minutes; and related documentation and correspondence. This series does not include individual faculty or staff membership information. (Retention: 3 years, destroy)

(6) **Attorney General Opinions** Records document responses of the State Attorney General's Office to legal questions posed by the institution's legal advisor and administrative officers which may have an impact on the institution's operations and policy. This series may include but is not limited to opinions and related documentation and correspondence. The State of Oregon Department of Justice (DOJ) holds statewide record copy. (Retention: 10 years, destroy)

(7) **Audit Records** Records document the unit's response to internal OUS and independent management, operations, and fiscal audits. This series may include but is not limited to audit reports; written responses showing how recommended changes will be implemented; and related documentation and correspondence. (Retention: (a) audit reports for 20 years, destroy (b) 7 years for work papers, drafts, and all other records, destroy)

(8) **Awards Records** Records document the process of selecting institutional faculty, staff, students and alumni to receive awards, and fellowships based on merit or achievement. The series may include but is not limited to applications; nomination letters; eligibility terms and selection criteria; recommendations; transcripts; letters of award notification or denial; letters accepting or declining awards; summary lists of winners; biographies; demonstration of need documentation; newspaper clippings and press releases; award history and information on funding sources; and related documentation and correspondence. (Retention: (a) Permanent for eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, biographies of winners, and press releases (b) 1 year for all other records, destroy)

(9) **Committee Records** Records document the activities of standing and ad hoc committees and councils made up of members from a variety of units. The committees are charged with formulating and recommending institutional policies and procedures, establishing standards and requirements, performing an advisory function, or reviewing petitions, appeals, and deviations from policy. Types of committees include administrative committees (those appointed by an administrator) and faculty senate committees (those created by the faculty senate's executive committee). They may function as steering committees, activities committees, standards committees, planning committees, academic committees, awards committees, councils, etc. Committees may be chaired by the director of a specific unit or rotate to different chairs on a regular basis. This series may include but is not limited to agendas; meeting minutes; reports; notes; working papers; and related documentation and correspondence.

(Retention: (a) Permanent for agendas, minutes, reports, and correspondence (b) 10 years for all other records of Faculty Senate Committees, destroy (c) 2 years for all other records of other committees, destroy)

(10) **Cooperative Program Records** Records document the institution's participation in cooperative and shared educational or research programs. Such programs may share research facilities and resources or instructional programs such as programs permitting student matriculation at member institutions. This series may include but is not limited to information on requirements and application procedures; applications and eligibility certificates; committee minutes; meeting agendas; working papers; memos of interpretation and understanding; fiscal records; and related documentation and correspondence. (Retention: (a) Permanent for information on requirements and application procedures, committee minutes, meeting agendas, and memos of interpretation and understanding (b) 6 years after expiration for all other records, destroy)

(11) **Correspondence Records** that: (1) document communications created or received and filed in the course of public business; AND (2) directly relate to agency programs or administration. Records may include but are not limited to letters, memoranda, notes and electronic messages that communicate formal approvals, directions for action, information about contracts, purchases, grants, personnel, and particular projects or programs. Disposition: File with the associated program or administrative records. Retentions for program and administrative records are found either in the Oregon University System General Records Retention Schedule (OAR 166-475) or in the institution special schedules authorized by the State Archivist. Communications not meeting the above criteria do not need to be filed and should be retained as needed.

(12) **Crisis or Disaster Records** Records document the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence. (Retention: Permanent)

(13) **Daily Broadcast Logs** Records document daily broadcast activities of the institutional radio station or television channel. Records include log sheets showing time signed on and off; any delays in broadcasting; engineer's name; announcer's name; technical difficulties; and digital broadcast records. (Retention: 2 years, destroy)

(14) **Daily Log** Records document the day-to-day activities of the office. This series may include but is not limited to staff member daily schedules, daily work logs, appointment information, and desk calendars, regardless of format. Information recorded in a personal day planner or personal electronic device may be a public record under ORS Chapter 192. (Retention: 1 year, destroy)

(15) **Data Input Forms** Records document paper forms that are used to create the same record in electronic form. This series may include service requests, such as work orders and mailing orders; surveys; instructor evaluations; tests; and other forms. This series does not include accounting system input documents and listings. (Retention: Until input and verified, destroy)

(16) **Election Records** Records document elections held by various faculty and staff organizations. This series may include but is not limited to ballots; tabulations; and related documentation. (Retention: 1 year, destroy)

(17) **Emergency Board Request Records** Records document requests made to the Legislative Emergency Board for additional funds or authority to spend funds between legislative sessions. Records may include but are not limited to requests, schedules and agendas, exhibits, organizational charts, testimony summaries, fiscal analysis, legislative progress reports, revenue projections, reclassification plans, presentation drafts, performance measures, and correspondence. The Emergency Board maintains the official copy of this information. (Retention: 5 years, destroy)

(18) **Faculty Senate Records** Records document the proceedings and actions of an institution's faculty senate. Discussions and actions of the faculty senate deal with such areas as curriculum, program development, promotion and tenure, and legislative relations. This series may include but is not limited to meeting notes/minutes; studies; recommendations; resolutions and enactments; reports; agendas; working papers; and related documentation and correspondence. (Retention: Permanent)

(19) **Freedom of Information Act (FOIA)/Public Records Disclosure Request Records** Records document public requests for information. Records include written correspondence inquiries from the public received by the university; written and dated responses issued by the university; notes and memoranda made in drafting responses to these inquiries; and initials of officials approving release of the information. (Retention: (a) approved requests 5 years, destroy. (b) denied requests 5 years after last action, destroy)

(20) **Gifts Records** Records document potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series may include but is not limited to award guidelines; letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates; financial statements and reports, including records of fund disbursements; and related documentation and correspondence. (Retention: (a) Permanent for letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence (b) 5 years for all other records, destroy)

(21) **Grievance Records** Records document grievances brought forward by faculty and staff against the institution and which are resolved without litigation. (Records of grievances that are litigated become part of the legal case file.) Grievances are brought forward through the faculty grievance procedure or collective bargaining agreement Records may include but are not limited to notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio files); final summary statements; appeals documentation; and related documentation and correspondence. (Retention: 3 years after resolution, destroy)

(22) **Institutional Accreditation Records** Records document the accreditation process for the institution by the Northwest Association of Schools and Colleges (NASC). The series provides a record of materials compiled for inclusion in a packet report sent to NASC and provided to the on-site evaluators. This series may include but is not limited to self-evaluation reports; final reports sent to accreditation organization; statistical data; working papers; NASC evaluation report; and related documentation and correspondence. (Retention: Permanent)

(23) **Institutional Addresses and Statements Records** Records document speeches and statements written and delivered by institutional faculty and staff in connection with institutional business. This series may include but is not limited to final copies; audio or video recordings of the speech presentation; drafts; source materials; and working papers. (Retention: (a) 5 years for drafts, source material, and working papers, destroy (b) Permanent for all other records)

(24) **Institutional Cooperation and Relations Records** Records document the coordination and interaction between units for the cooperative administration of programs within the institution. This series is used for monitoring, planning, and coordinating research, instructional, or administrative programs of common concern to two or more institutional units. This series may include but is not limited to copies of budget reports; activity reports; proposals; planning documents; agreements and memoranda of understanding; publicity and newspaper clippings; policy statements; working papers; and related documentation and correspondence. (Retention: (a) Permanent for proposals, planning documents, activity reports, policy statements, and publicity (b) 6 years after expiration for all other records, destroy)

(25) **Institutional Planning Records** Records document the college or unit's role in the development of short-term or long-term plans for the institution. This series may include but is not limited to instructions from the president; provosts; and/or vice provosts explaining the nature and purpose of the requested strategic planning effort; internal planning committee materials; statements of objectives and goals as developed by college or unit chairs and administrators; proposals; strategic planning reports; surveys; activity reports; informational materials; working papers; and related documentation and correspondence. (Retention: (a) Permanent for final planning reports, proposals, goal and objective statements, and instructions and explanations of process (b) 20 years for internal planning committee materials, surveys, activity reports, working papers, informational materials, and correspondence, destroy)

(26) **Institutional Survey and Reporting Records (HEGIS and IPEDS)** Records document compliance with U.S. Department of Education reporting requirements by verifying figures on financial, student, institutional, and faculty salary data as reported to OUS by individual OUS institutions and reporting those findings to the U.S. Department of Education. The series may also be used to provide information to the administrators and legislators, and to create other statistical reports. Records may include HEGIS (Higher Education General Information Survey) and IPEDS (Integrated Post-Secondary Education Data System) completed forms for Salary, Tenure, and Fringe-Benefit of Full Time Instructional Faculty, Financial Statistics of Institutions of Higher Education (IPEDS-F-1), Finance FY (G50-14P-F), Salaries of Full Time Instructional Faculty (G50-14P-SA), IPEDS Total Institutional Activity (G50-14P-EA), Institutional Characteristics Form (G50-14P-IC), Enrollment in Occupationally Specific Programs (G50-14P-IF), Completions for the Year reports (program ICR), AAUP (MEA-22), Degrees and Other Formal Awards Conferred (NC form 2300-2.1A), Fall Enrollment in Institutions of Higher Education (NC form 2300-2.3A), OCCD Degrees Granted in Post-Secondary Institutions in Oregon reports, Degrees Awarded by Oregon's Degree Granting Colleges and Universities reports, AAUP summary reports, and related working papers and correspondence. (Retention: (a) Permanent, final reports including the HEGIS/IPEDS survey forms (b) 10 years, all other records, destroy)

(27) **Intramural Sports Program Records** Records document the planning, implementation and operation of intramural sports programs for students, facility and staff within the institutions. Records

include but are not limited to rosters, applications; enrollment records; activity records; and related correspondence (Retention: (a) 5 years after superseded for program records, destroy (b) 2 years for individual student records, destroy)

(28) **Lectures and Lecture Series Records** Records document the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution. This series may include but is not limited to lecture committee notes; memoranda and planning materials; information on funding; financial support and honoraria records; patron information; programs and announcements; information on catering arrangements; news releases; recordings and transcripts; photographs; video recordings; and related documentation and correspondence. (Retention: (a) Permanent for lecture committee notes, memoranda and planning materials, programs and announcements, news releases, transcripts, video recordings, and photographs (b) 10 years for all other records, destroy)

(29) **Legal Case Records** Records document litigation brought against the institution. Series contains case files pertaining to Affirmative Action conflicts; salary disputes; and differences in interpretation of contract language. (Retention: (a) Permanent for records of cases resulting in major policy modification, pleadings, final decisions, copies of records of the courts of cases considered historical, and summary statements (b) 6 years after final decision for all other records, destroy)

(30) **Legislative Relations Records** Records document efforts to review and plan institutional positions on impacting legislative actions. This series may include but is not limited to: OUS Bill Review and Tracking forms; bill tracking reports; notes; copies of pending or approved legislation; working papers; and related documentation and correspondence. (Retention: 2 years, destroy)

(31) **Lobbyist Records** Records document the activities of OUS employees who engage in lobbying the state government. Records may include: Lobbyist Registration Statement forms; Lobbyist Termination forms; Lobbyist Expenditure Report forms; the Oregon Government Standards & Practices Commission's Guide to Lobbying in Oregon; lobbyist listings and salary information and related documentation. The OUS Chancellor's Office maintains the system-wide record copy. (Retention: 5 years after last activity, destroy)

(32) **Notary Public Records** Records documenting notary transactions completed by a notary public employed by OUS. OUS may retain log books by agreement with the notary public after their separation from OUS employment. OUS institutions retaining notary public log books without notary agreements should consult their attorney and/or the Secretary of State, Corporation Division for Retention instruction. (Retention: 7 years after date of commission expiration, destroy)

(33) **OUS and OSBHE Relations Records** Records document the coordination and interaction between institutional administrative units and OUS and the OSBHE which have ultimate authority over both academic and fiscal programs. This series may include but is not limited to minutes; agendas; budget reports; dockets; notes; activity reports; proposals; fee booklets; newsletters; memos; and related documentation and correspondence. (Retention: (a) Permanent for minutes and agendas; (b) 1 year for notes, memos, and correspondence, destroy (c) Until superseded or obsolete for all other records, destroy)

(34) **Policies and Procedures Records** Records document internal or external instructions, rules, and guidelines for current agency policies and procedures. This series may include but is not limited to: mission and policy statements; planning documents outlining responsibilities and goals; organizational charts; publications preparation guidelines; emergency procedures; job descriptions; guides for office procedures which often include completed samples of all forms; handbooks; desk manuals; and related documentation and correspondence. (Retention: (a) Retain final policy and/or procedure permanently (b) Retain all other records 1 year after policy and/or procedure adopted, destroy)

(35) **Professional Accreditation Records** Records document the accreditation process for the colleges, units, and related programs. The series provides a record of materials compiled for inclusion in a report packet sent to the appropriate professional accreditation board for the specific program or service and usually includes statements on mission, finance, educational programs and departments/divisions make up. Most accreditation organizations produce an evaluation report based on the packet and on-site inspection which is used to determine accreditation for the units and their programs. This series may include but is not limited to self-evaluation reports; final reports sent to accreditation organization; statistical data; working papers; accreditation organization evaluation report; and related documentation and correspondence. (Retention: (a) Permanent for self-evaluation reports, final accreditation reports, and accreditation organization evaluation reports (b) 2 accreditation cycles for statistical reports, working papers, correspondence, and all other records, destroy).

(36) **Professional Membership Records** Records document institutional-paid individual memberships and activities in professional organizations. These records may include but are not limited to applications for membership; certification of membership; documentation of activities; and related correspondence. (Retention: 6 years, destroy)

(37) **Radio and Television License Records** Records document licensing of OUS campus radio stations and television channels (including distance education) with the Federal Communications Commission. Records may include FCC applications; licenses and contracts; and related correspondence. Federal regulations state that TV and radio licenses will ordinarily be renewed for 8 years unless the public interest, convenience and necessity will be served by an initial license or a renewal for a lesser term. (Retention: 10 years after expiration of license, destroy)

(38) **Signature Authorizations** Records document the certification of the institution's employees who are authorized to sign fiscal and contractual documents. These documents serve as an aid for management control over expenditures. This series may include but is not limited to authorization date; name; sample signature; position data; remarks; and conditions. (Retention: 6 years after authorization expires, destroy)

(39) **Special Activity Records** Records document the activities of an office which are performed in addition to its regular or main functions. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation; working papers; questionnaires; survey forms; study designs; reports; and related documentation and correspondence. (Retention: (a) Permanent for final reports and study designs (b) 3 years for all other records, destroy)

(40) **Special Event Records** Records document the efforts of a college or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members

of the institution and the communities it serves. This series may include but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; video recordings; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence. (Retention: (a) Permanent for planning materials, reports, promotional and publicity materials, press releases, photographs, and schedules of speakers and activities (b) 2 years for all other records, destroy)

**(41) Staff Meeting Records** Records document the meetings of the faculty and/or staff of a college, department, or office which sets policy and procedures for the unit. Participants at meetings may be composed exclusively of a mixture of faculty, staff, administrators, and managers; specialized and task oriented sub-committees composed of unit personnel are also documented as part of this record series. These meetings may concern routine matters of procedure and topics such as program development, planning, administrative and personnel management, and assessments of future needs. This series may include but is not limited to meeting notes/minutes; reports; working papers; agendas; and related documentation and correspondence. (Retention: (a) Permanent for meeting notes/ minutes, agendas, and reports (b) 4 years for all other records, destroy)

**(42) Vehicle Use Authorization and Request Records** Records document permission for employees to use their private automobiles for official use and authorization of non-employees and students to use state-owned cars. Records may include but are not limited to private vehicle safety certification forms; private vehicle certificate lists; driver authorizations for students and non-employees; and related documentation and correspondence. (Retention: 1 year after superseded or obsolete, destroy)

**(43) Visiting Scholar Program Records** Records document a program which allows one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include but is not limited to advertisements; applicant data; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; scholars activities documentation including audio recordings; and related documentation and correspondence. (Retention: (a) Permanent for applicant data, publicity, presentation transcripts, and scholars activities documentation (b) 4 years for all other records, destroy)



166-475-0015

## Budget Records

(1) **Annual Budget Records** Records document the annual institutional budget provided to OUS, its planning, implementation, allocation and changes. This series includes but is not limited to: Operating Budget Expense by Categories and Functions Report; Estimated Gifts, Grants, Contracts and Clearing Account Summary Report; Student Fee Income and Application of Funds Report; Statewide Public Service Source and Application of Funds; other reports specified in yearly instructions from the Chancellor's Office; institutional budget preparation instructions; budget requests; budget status reports; budget change requests, registers and logs; budget detail reports; working papers including spread sheets, expenditure projections, salary and budget worksheets; allotment, capital outlay and equipment need reports; unit budget preparation instructions; working papers; memoranda; final summary reports and spread sheets; Budget Change Request Forms; budget change suspense records; budget change registers; authorization for budget change forms; copies of revised unit initial budgets; fund transfer notices; spread sheets; expenditure and obligation reports; allotment reports; and related documentation and correspondence. (**Retention:** (a) Permanent for Adopted Budget (b) 10 years for year end activity reports (c) 10 years for planning and preparation records (d) 4 years for change records (e) 1 year for a all other activity reports, destroy)

(2) **Budget Report Records** Records used to monitor funding distribution within the university system and individual institutions. (**Retention:** (a) Permanent for OUS final adopted budget (b) 10 years for annual report "orange book", destroy (c) 4 years for summaries, destroy)

(3) **Cooperative Federal Program Budget Preparation, Projection and Allocation Records** This series is used to Records document develop, estimate, propose, and plan preliminary budget requests for cooperative federal/state programs and reflect the process by which the annual budget allotment is to be distributed to the department and its programs. This series may include but is not limited to: budget expenditure statements; General Ledger Statements of Accounts; salary work sheets; budget exhibits; project detail sheets; budget requests; OUS-Institutional Use Code budget forms (CO-119); budget change sheets; Federal Agency Annual Reports (Computerized Research Information System (CRIS) Form Ad-419); Federal Agency Status of Fund Reports; Governor's Suggestion Reports; Journal Vouchers; spread sheets; expenditure projection work papers; preliminary section budget proposals; budget development schedules; allotment reports; decision packages; spending plans; compensation plan proposals; contingency/deviation plans; various federal publications; reports; forms; and related documentation and correspondence. (**Retention:** 10 years, destroy)

(4) **Self-Sustaining Program Budget Projection and Allocation Records** Records document projecting annual budgets for units which operate on self-sustaining funds and to determine fees and fee-charging policies. This series may include but is not limited to: charts of accounts; reports of receipts and disbursements; fee schedules; financial statements; photocopies of vouchers; purchase orders; spread sheets; expenditure projection work papers; budget development schedules; decision packages; spending plans; compensation plan proposals; contingency/deviation plans; current expenditure reports; average expenditure reports; and related documentation and correspondence. (**Retention:** 10 years, destroy)

166-475-0020

## Contracts Records

(1) **Author's and Artist's Contracts and Agreements Records** Records document the duly executed and binding contractual agreements between the institution and authors and artists concerning subjects such as royalties, pricing agreements, and copyright. Information in individual contracts or agreements may include but is not limited to terms and conditions; provisions; amendments; exhibits and addenda; and authorizing signatures. (**Retention:** (a) Permanent for authors' contracts and agreements with university presses and artists agreements (b) 6 years after expiration for all other authors' contracts and agreements, destroy)

(2) **Competitive Bid Records** Records document the evaluation and award of bids to vendors and/or agencies and provides evidence of accepted and rejected bids. Records may include but are not limited to requests for proposals, bids, and information; bid and quote lists; notices of bid opening and award; comparison summaries; spreadsheets; tabulation worksheets; bid advertising records; tally sheets; bid specifications; and vendor correspondence. (**Retention:** Retain successful bids 6 years after bid awarded or canceled, destroy (b) Retain unsuccessful bids 3 years after bid awarded, destroy).

(3) **Contracts and Agreements Records** Records document the negotiation, execution, completion, and termination of legal agreements between an agency and other parties. Records may include but are not limited to the official contract, lease, or agreement, amendments, exhibits, addenda, legal records, contract review records, and related documentation and correspondence. Records do not include property records. Note: Agencies that enter into contracts with the federal government must ensure that their contracts and agreements meet federal requirements specified in the Code of Federal Regulations. (**Retention:** (a) Retain contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion (as defined by ORS 12.135(3)), destroy; (b) Retain all other contracts and agreements: 6 years after expiration, destroy).

AGREEMENTS/CONTRACTS/LEASES INVOLVING EQUIPMENT ARE COVERED UNDER THE EQUIPMENT AND SUPPLIES PORTION OF THE SCHEDULES.

(4) **Defense Base Act (DBA) Records** Records document insurance coverage for institutional employees in foreign countries who are not covered by the State Accident Insurance Fund (SAIF). These records include one year contracts with a mandated insurance carrier. This series may include but is not limited to: liability claims against the institution that are both open and completed; legal files with affidavits; accident reports; estimates for repairs; police reports; suit status reports; disbursement records; settlements; and related correspondence. (**Retention:** 10 years after all claims are settled, destroy)

(5) **Hold Harmless, Liability Waiver, and Release Records** Records document the release of the institution or administrative unit from liability related to various activities involving students, faculty, or staff. Activities may include events such as sponsored field trips and physical education classes. Records include but are not limited to hold harmless, waiver, and release forms, related documentation, and correspondence. Information includes a statement from the participant that he/she assumes personal responsibility and holds the institution or administrative unit blameless for any accident or injury that may occur while participating, information about college insurance, description of the activity, and signatures of the participant. (**Retention:** 6 years after the end of the event or activity for which the waiver was signed, destroy)

(6) **Insurance Fund Claims Records** document requests for payment of insurance claims from the Oregon Department of Administrative Services Risk Management Division. Records may include: Auto/Liability/ Property Claim Reports; estimates of repairs; accident reports; police reports; and correspondence. (Department of Administrative Services Risk Management Division maintains statewide record copy). (**Retention:** 5 years after claim paid or denied, destroy)

(7) **Insurance Policy Records** Records document insurance policies written to cover all state property, automobiles, liability, and special events. Records may include but are not limited to copies of insurance policies, riders, and endorsements; records of payment; and related documentation and correspondence. (**Retention:** (a) 10 years after policy expiration for liability, motor vehicle, special event and employee group insurance policies, destroy (b) 5 years after policy expiration for state motor vehicle insurance, non-employee medical, and bonds policies, destroy (c) 2 years after policy expiration for fire, theft, or extended coverage policies, destroy (d) 1 year after final claim payment for any policy with an outstanding claim against it when the Retention period expires, destroy)

(8) **Intramural Sports Waivers Records** document the legally and medically informed status of students, faculty, and staff participating in intramural sports activities. This form affirms that participants have been informed that they are not covered by the institution for injury or other medical situations and have been advised to seek private insurance. (**Retention:** 3 years after the conclusion of the intramural sports season, destroy)

(9) **Real Property Records** Records document the real property acquired and sold by the institution. This series does not include leases. This series may include but is not limited to: purchase agreements; title abstracts; easement details; public hearing notices and minutes; county recorder's plat descriptions; memoranda of understanding; earnest money receipts; sales agreements; property deeds; working papers; and related documentation and correspondence. (**Retention:** 6 years after property is sold, destroy)

(10) **Student Housing Contracts Appeals Records** Records document the disposition of appeals made by residents who have been assessed the standard penalties for failing to follow the terms of their housing/food service contracts. These records consist of: students' appeals stating their reasons for seeking modification of contract terms; decisions from the director of housing, including instructions for further appeal if students have additional relevant information and desire to proceed; and related documentation and correspondence. (**Retention:** 2 years after resolution, destroy)

(11) **Student Housing Contracts Records** Records document occupancy in all institution-administered housing — residence halls, family housing, and cooperative housing. This series may include but is not limited to residence hall/cooperative house/student family housing applications and contracts; proof of admission records; and related documentation and correspondence. (**Retention:** 6 years after expiration of contract, destroy)

(12) **Trademarks Licensing Records** Records document the legal authority for non-system agencies to use the logos and other symbols constituting the registered trademarks of the institution, such as "Benny the Beaver," "Donald Duck" and the institutional seals/logos. The records consist of folders for each vendor or individual seeking legal use of institutional trademarks for any reason. This series may include but is not limited to: names and addresses of approved licensees; their annual gross dollar sales of Institutionally trademarked items; invoices showing royalties paid to the institution for use of the

trademarks; licensing agreements; samples of the requesting licensees' art work; and related documentation and correspondence. **(Retention: 6 years after expiration of licensing agreement, destroy)**

## **166-475-0025**

### **Curriculum and Instruction Records**

(1) **Academic Program Administrative Records** Records document the daily and routine administration of academic programs of the department or college. This series may include but is not limited to: registration reports; add-drop analyses and reports; course enrollment summaries by class; graduation summaries; majors by class level; international activities; cooperative ventures; summer term classes and enrollment reports; placement information; convenience copies of reports prepared by admissions, registrar's, budgets and planning, and other offices; memos; working papers; and related documentation and correspondence. **(Retention: 2 years, destroy)**

(2) **Book Order Records** Records document books ordered for courses taught in the department. This series may include but is not limited to the institution textbook request forms which includes authors, titles, publications, course numbers, and expected enrollment; course packets; other forms; and related documentation and correspondence. **(Retention: 1 year, destroy)**

(3) **Catalog/Bulletin Records** Records document institutional policies and procedures, program requirements, and course offerings and may also be used for constructing new courses or reconstructing old courses. Information in the individual catalogs and bulletins includes academic policies and procedures, program names and descriptions, course names and descriptions, alphanumeric course designations, credits offered per course, and related program and course information. This series may include but is not limited to: catalogs and bulletins including the general, graduate, and summer session catalog/bulletin; mock-ups of catalogs and bulletins; preparation and working papers; and related documentation and correspondence. **(Retention: (a) Permanent for official copy of catalog and bulletins (b) 1 year for all other records, destroy)**

(4) **Class Scheduling Records** Records document the formulation of class schedules by academic departments for inclusion in schedule of classes. This series may include but is not limited to: the final edition of the schedule of classes booklet; requests from departments for class offerings; deviation from schedule forms; course schedule maintenance forms; requests for class changes; working papers; and related documentation and correspondence. **(Retention: (a) Permanent for official copy of schedule of classes (b) 1 year for all other records, destroy)**

(5) **Continuing Higher Education and Summer Session Course Records** Records document course offerings and individual course contents as offered by Continuing Higher Education and Summer Session. These records include: syllabi; course descriptions; course outlines; course request proposals; enrollment reports; course summaries; request for undergraduate and graduate course and instructor approval forms; nominations to the undergraduate faculty; course announcements; handout materials; budget requests; budget status forms; vouchers; final and summary reports; and related documentation and correspondence. **(Retention: (a) Permanent for final and summary reports (b) 4 years for all other records, destroy)**

(6) **Course Records** Records document departmental course offerings and individual course contents. This series may include but is not limited to: syllabi; course descriptions; course outlines; course summaries; course requests and proposals; curriculum approval lists; lists of classes by term; bibliographies; reading lists; course announcements; handout materials; and related documentation and correspondence. **(Retention:** 3 years or until superseded or obsolete, destroy)

(7) **Course Schedule Maintenance Forms Records** document requests for changes to be made to the institutional catalog and schedule of classes. The forms include course numbers; course titles; locations; grading modes; course descriptions; designators; fees; and credit hours. **(Retention:** 2 years, destroy)

(8) **Media Equipment and Productions Records** Records document the purchase, receipt, and subsequent scheduling and distribution of media productions and/or equipment. This series may include but is not limited to: equipment requests; letters of permission to use copyrighted materials; distribution schedules; and related documentation and correspondence. **(Retention:** (a) 6 years after expiration for letters of permission, destroy (b) 4 years for all other records, destroy)

(9) **New Degree Program and Course Proposal Records** Records document the development of new departmental and interdepartmental degree programs, courses and related curricula that are currently under consideration for adoption. The series may also document requests to drop courses from the curriculum and/or to change the names of courses, the number of credits, or the prerequisite courses. This series may include but is not limited to curriculum committee meeting minutes; curriculum proposals; and related documentation and correspondence. **(Retention:** (a) Permanent for committee meeting minutes and curriculum proposals (b) 5 years for all other records, destroy)

(10) **Non-University Student Program Administration Records** Records document the administrative activities of special instructional and support programs directed to serve elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other special non-institution student programs. This series may include but is not limited to policy and program planning and development documentation; evaluations of courses, support services, and instructors; program course outlines; tuition payment records; reports; statistical reports; working papers; and related documentation and correspondence. **(Retention:** (a) Permanent for policy, program planning, and development documentation and reports (b) 10 years for all other records, destroy)

(11) **Program Development and Review Records** Records documents planning and discussions relating to the implementation of new undergraduate and advanced degree programs and any major reorganizations or changes to established programs. This series may include but is not limited to: final reports; working papers; letters of support; review agendas; faculty status reports; reviews of individual degree programs by campus and off-campus sources; and related documentation and correspondence. **(Retention:** (a) Permanent for final reports and reviews of individual degree programs by on and off-campus sources (b) 10 years for all other records, destroy)

(12) **Room Scheduling Records** Records document room assignments for classes offered during regular terms or during the summer session. This series may include but is not limited to room assignment lists and related documentation; class room technology requests. **(Retention:** 1 year, destroy)

(13) **Special Academic Programs Records** Records document the administrative activities of special academic programs serving and aiding institution students. Programs documented by this series range from special requirement and certification programs to programs aimed at assisting and encouraging target groups of institution students. Included are the international student program; National Student Exchange (NSE) program; English language programs; honors programs; minority scholars programs; minority student recruitment programs; disabled student programs; non-traditional student programs; educational opportunities programs; older than average student programs; Native American science programs; study abroad programs; and other special academic programs. This series may include but is not limited to policy and program planning and development documentation; explanatory materials on the program; notes; evaluations of courses, support services, and instructors; program course outlines; tuition payment records; program participation and aid selection records; activity accounting records; working papers; reports; and related documentation and correspondence. (**Retention:** (a) Permanent for policy and program planning and development documentation and reports (b) 10 years for all other records, destroy)

(14) **Student Handbooks Records** document the requirements, policies, and offerings of specific instructional units for use by current or potential students. This series contains information or policies on: fields of study; faculty; academic requirements; the evaluation process; and the research proposal process. (**Retention:** Permanent)

166-475-0030

### Equipment and Supplies Records

(1) **Equipment Inventory Records** Records document the acquisition, location, transfer, and disposition of state-owned property and equipment. This series may include but is not limited to: Equipment Inventory Lists; lost/stolen property reports; Damage or Loss of State Property Claim; equipment transfer forms and memos; and related documentation and correspondence. The series may also include biennial equipment list; returned departmental equipment inventory lists with annotations concerning resolution of problems associated with the accountability, physical condition, and physical location of specified pieces of equipment. (**Retention:** (a) Biennial inventory records: 4 years, destroy (b) transfer forms, 4 years, destroy (c) equipment lists until superseded or obsolete, destroy (d) all other records 4 years after superseded or obsolete, destroy)

(2) **Equipment Loan Agreements Records** Records document the institution's lending of equipment to borrowers conducting research, educational programs, and or other activities consistent with institution goals and missions. This series may include but is not limited to signed equipment loan agreements which outline the conditions under which the loan is made and the responsibility assumed by the borrower; and related documentation and correspondence. (**Retention:** 6 years after expiration of agreement, destroy)

(3) **Equipment Maintenance Records** Records document the operation, maintenance, service and repair of institutional equipment. Records may include: purchase orders; lease agreements; warranties; instructions and operating manuals; vendor statements; service contracts; charge call bills; fax activity reports; service logs; invoices for equipment repair; purchase request forms; and memoranda. (**Retention:** 1 year after disposition of equipment, destroy)

(4) **Equipment Rental and Loan Records** Records document the rental/loan and return of university property such as recreational equipment and lockers and is also used to determine usage trends as an aid to purchase and replacement decisions. Records may include rental agreements; loan forms; usage logs; and related correspondence. (**Retention:** 2 years after return of property, destroy)

(5) **Federal Property Records** Records document "agency-owned" (usually federal) properties loaned to the institution or agency-owned property purchased with (usually federal) non-institutional state funds for research contract use at the institution. Such property is carried on the state equipment inventory records for insurance and management purposes. This series may include but is not limited to Annual Equipment Inventory Lists; federal physical equipment inventory reports; copies of federal form DD 1419; institutional acquisition, transfer, and disposition forms; memoranda of understanding or agreements; and related documentation and correspondence. (**Retention:** (a) 6 years after expiration: memoranda of understanding and agreements, destroy (b) 3 years after final disposition of equipment or property: all other records, destroy)

(6) **Food and Alcohol Inventory Records** Records document the dollar value of food, alcohol, and other consumable stock at the end of each month for planning, ordering, and fiscal accounting purposes. This series may include but is not limited to in-house computer generated food inventory reports; alcohol inventory reports; summary reports; and other related documentation and correspondence. (**Retention:** 4 years, destroy)

(7) **Food Ordering and Delivery Records** Records document vendor deliveries, transfers of food and supplies from the housing office warehouse, updated pricing information, and other vendor information. This series may include but is not limited to direct delivery vendor invoices; and requisition forms. (**Retention:** 4 years, destroy)

(8) **Issue Tickets Records** Records document the distribution of consumable supplies such as gasoline, oil, rock, gravel, and other supplies issued for authorized use. This series may include but is not limited to issue tickets; receipts; sign-out sheets or logs; journal vouchers; purchase authorizations; and other related documentation and correspondence. (**Retention:** 4 years, destroy)

(9) **Miscellaneous Closing of Books Reports Records** document fiscal year ending reports sent to the OUS Controller annually. This series includes but is not limited to reconciliation statements; reports on non-expendable property received; museum collections; vendors invoices; storeroom physical inventories; and related documentation and correspondence. (**Retention:** 6 years, destroy)

(10) **Requisitions Records** Records document the purchase of supplies and services by the institution. This series may include but is not limited to purchase requests; State Purchase Request Forms; field purchase orders; inter-departmental requisitions for equipment, supplies, and services; and related documentation and correspondence. (**Retention:** 4 years, destroy)

(11) **Research and Teaching Drug Inventory Records** Records document the daily inventory of drugs and controlled substances held by units for clinical, instructional, and research uses. These records include daily shift inventory logs listing descriptions, quantities, and initials of pharmacists conducting the inventories. Complies with 21 CFR 1304.04(a). (**Retention:** 2 years, destroy)

(12) **Sale Inventory Records** Records document saleable items in colleges or unit's inventories. This series may include but is not limited to stock printouts; inventory reports; and related documentation and correspondence. (**Retention:** 4 years, destroy)

(13) **Shipping Lists and Packing Slips Records** document the receipt of equipment, supplies, other items and services from vendors. The series includes packing slips; shipping and container lists; and bills of lading. (**Retention:** 1 year, destroy)

(14) **Supplies Inventory Records** Records document the quantity and value of all supply items with a value of \$4999.99 or less. Supply Inventories are required by the institution on an annual basis and mandated by OUS every five years. This series may include but is not limited to a listing of institution-wide supplies inventories consolidated from each unit's submissions to the property administration office; departmental supplies inventory forms (OUS Form CO 340A); supply lists and ledgers; OUS Estimated Supplies Reports; and related reports, documentation, and correspondence. (**Retention:** 4 years after superseded or obsolete, destroy)

(15) **Surplus Property Records** Records document changes in state owned property; requests to declare items surplus, salvage, or scrap; removal and sale or disposal of excess equipment and other surplus items including proceeds from sales. Records may include but may not be limited to surplus property declaration and pick-up requests; pick-up request worksheets; State Property Disposition Requests (PDR forms); quarterly and other computer generated reports of sales to other departments, agencies, or private parties; journal vouchers; descriptive information; property sale flyers; surplus property sales



inventory lists; bills of sale; cash receipts; vehicle odometer statements; and related documentation and correspondence. **(Retention: 4 years, destroy)**

(16) **Vehicle Records** Records document departmental administration of vehicles such as cars, vans, trucks, trailers, boats, tractors, and farm vehicles for accounting and insurance purposes. It may also document the service history, accumulated mileage, and disposition of each vehicle of institutionally owned vehicles, including routine preventative maintenance, mechanical repairs, and accident damage repairs. This series may include but is not limited to registrations; vehicle warranties; maintenance agreements; service contracts; vehicle inventories containing information regarding description, dollar value, and date of purchase; maintenance and repair logs; vehicle titles; gas slips; maintenance requests and work orders; repair notices and authorizations and related documentation and correspondence. **(Retention: (a) 1 years for gas slips (b) 2 years after disposal of vehicle for all other records, destroy)**

(17) **Vendor History Reports** Records document vendor data, selection, and updating pertaining to departmental and college operations. This series may include but is not limited to: reports containing vendor numbers, payee names, invoice numbers, amounts, warrant/voucher numbers, and message comments; copies of purchase orders; requisitions; packing slips; promotional and advertising materials; product specification sheets; and related documentation and correspondence. **(Retention: (a) Until superseded or obsolete for advertising materials, destroy (b) 2 years after superseded or obsolete for all other records, destroy)**

166-475-0035

## Facilities and Property Records

(1) **Building Space Inventory and Valuation Records** Records document the buildings owned and leased by the various institutions within the Oregon University System both on and off campuses. Building Space Inventory reports are used to project institutional space needs; to identify deferred maintenance; and to provide cost recovery support documentation for major research universities receiving federal money, grants, or private gifts. The inventories are kept at the individual institutions with periodic updates being provided to the Board's Offices of Facilities Services. Records include but are not limited to computer generated reports with details by building (SP440-01), type of space (SP450-01), principal use (SP455-01), department (SP460-01), and area. Records may also include various summary reports such as Institution Summary by Building (SP445-01). All computerized reports are updated at least annually. OUS Facilities Services holds system-wide record copy of Space Inventory reports. Building Valuation Reports are used for State Insurance Fund (formerly State Restoration Fund) purposes and include building name, building number, location, capitalized value, and insured value. The report is prepared annually by the Controller's Division and distributed to the institutions. All updates, additions, and deletions are prepared at the institution level and reported to the Controller's Division. **(Retention:** (a) Permanent for summary space inventory reports and building valuation reports (b) 10 years for all other records, destroy)

(2) **Buildings/Grounds Repair, Maintenance, Remodeling, and Construction Records** Records document the condition, upkeep, and routine maintenance of the institution's buildings and grounds. It also documents remodeling and construction projects with a total expenditure of less than \$100,000 over six years. This series may include but is not limited to floor plans; specifications; layouts; sketches; maintenance agreements; work logs; sign-in sheets; and related documentation and correspondence. **(Retention:** (a) Permanent for floor plans, layouts, sketches, and specifications (b) 6 years for all other records, destroy)

(3) **Capital Construction Project Records** Records document the planning, administration, and implementation of current and potential capital construction projects on campus (projects with a total expenditure of at least \$100,000 over six years); to project needs for projects; and as a reference to projects once they have been completed. The series also provides a record of the funding of current capital construction projects on campus and to prepare budgets and allocations for capital construction projects. This series may include but is not limited to project descriptions and requirements; plans; plan reviews; project schedules; contract change orders; bid documentation; contracts and agreements with architects, artists, engineers, consultants, vendors, and contractors; materials and soils reports; progress reports; insurance reports; payment schedules; summary reports; memos; final acceptance statements; architectural blueprints; sketches; aerial photographs; preliminary planning drawings; as built drawings; drawings reflecting changes to the original plans; soil testing maps; any other type of graphic representation produced relating to buildings, systems, and land. The series also includes project descriptions; budget projection and allocation records; budget authorization forms; budget change orders; final acceptance statements; and related documentation and correspondence. **(Retention:** (a) Permanent for plans, plan/design exceptions, soil tests (b) 10 years for all other records, destroy)

(4) **Chemical Application Records** Records document the application of chemicals such as pesticides, herbicides, and fertilizers to institutional property. Information usually includes date used; weather

conditions; application area; chemical applied; mix ratio; and coverage rate. **(Retention: 30 years, destroy)**

(5) **Classroom and Laboratory Utilization Reports** Records document the utilization of classroom and laboratory space. This series includes preliminary and final reports which contain class number, time of the class, and the number of students in the class. **(Retention: (a) 5 years for final utilization reports, destroy (b) 2 years for preliminary utilization reports, destroy)**

(6) **Faculty and Staff Reports** Records document the number of full time equivalent (FTE) positions in instruction, research, administration, public service, fellowships, and classified staff. This series consists of forms from departments showing FTE positions (including staff identification numbers) and office space required. The summaries include department total FTE for each of the principal activity categories listed above. **(Retention: (a) Permanent for summaries (b) 5 years for all other records, destroy)**

(7) **Land Inventory Records** Records document real property owned and leased by the various institutions within the Oregon University System and lists each parcel that has been acquired through ownership or under some form of lease agreement. Records include but are not limited to Land Inventory Reports, the OUS Land Inventory manual, records pertaining to permanent land and deed filings with the state, and related documentation and correspondence. Information in the Land Inventory Reports includes from who the land was acquired, date of acquisition, use of the land, source of revenue used to acquire, acreage, capitalized value, and where the transaction is recorded in the Board minutes. OUS Facilities Services holds system-wide record copy and annual reports are provided to the institutions. **(Retention: (a) Permanent for the OUS Land Inventory Manual, records relating to deeds, correspondence, and every fifth year of Land Inventory Reports (b) Until superseded or obsolete for all other Land Inventory Reports, destroy)**

(8) **Property Tax Exemption Claim Records** Records document claims for exemptions from institutions paying property taxes in Oregon and other states due to the educational use of the property. Exemptions are typically made on an annual basis. Records may include applications for exemption and related documentation and correspondence. **(Retention: 6 years, destroy)**

(9) **Room Change Requests Forms Records** document room assignments and room remodeling done by facilities services units. Information on the change request forms may include but is not limited to the building and room; the reason for the change; who requested the change; who approved the change; date the change was requested; source of funds; special approvals needed and date approved. **(Retention: 5 years, destroy)**

(10) **Utilities Systems Operating and Maintenance Records** Records document the operations and maintenance of institutional utilities. This series may include but is not limited to equipment operations logs; mechanical readings charts; equipment maintenance histories; and related documentation and correspondence. **(Retention: (a) 4 years after equipment is no longer in service for equipment maintenance histories, destroy (b) 10 years for all other records, destroy).**

**166-475-0040**

**Fiscal — Accounts Records**

(1) **Annual Fiscal Reports** Records document annual fiscal year-end status of accounts and is used to provide the office with summary information relating to its programs which may be used for planning or review. Records include Period 14 reconciliation reports; annual operating statements; schedules of rates; and related correspondence. **(Retention: 10 years, destroy)**

(2) **Building and Equipment Reserve Schedules Records** document individual account summary and to show what the balance should be, as well as the amount of current year entries needed to bring the account up to that balance. The series also serves as backup to the general ledger entries. Information may include building or equipment value, required reserve, actual balance, deficiency, and amount to transfer in the current fiscal year. **(Retention: 6 years, destroy)**

(3) **Certificates of Participation Records** document the administration of Certificates of Participation (COP's) primarily sold to finance institutional equipment, software, hardware, and consultants' time. The series may also be used to split COP debt service amongst the institutions and make entries charging them for COP related debt service. Records may include but are not limited to Certificates of Participation, COP budget development and cash draw down records, and related executive and administrative correspondence. **(Retention: (a) Permanent, executive correspondence (b) 4 years after COP maturity, all other records, destroy)**

(4) **Chart Element Reports Records** document every fiscal FOAPAL element used by the institution which include Index, Fund, Organization, Account, Program, Activity and Location Codes. Records consist of reports generated on a particular FOAPAL element which include the element; a brief descriptive title; and effective, termination, and next change dates. **(Retention: Until superseded or obsolete, destroy)**

(5) **Chart Element Justification Records** Records document fiscal chart of accounts elements and an office's request to establish a new index or FOAPAL element, change an existing element, or terminate an existing one. Records consist of request forms which include a description of the request, the proposed FOAPAL and index elements, effective date, and signatures of requesters and authorizing officials. **(Retention: Permanent)**

(6) **Closing of the Books Records** Records document the resolution and reconciliation of accounts monitored by the institution, the OUS Budget and Fiscal Policies Office, or Controller's Office at the end of the fiscal year. Records include reconciliation statements provided by each institution to OUS Budgets and Fiscal Policies or the OUS Controller's Office concerning discrepant accounts for which they are responsible and related documentation and correspondence. **(Retention: 6 years, destroy)**

(7) **Development and Endowment Management Fee Records** Records document the revenue earned quarterly on gift accounts and fees charged by the institution's development office. Information includes dates; gift account amounts and identification numbers; earnings; department or account responsible for payment; and fee amount. **(Retention: 6 years, destroy)**

(8) **General Ledger Statements Records** document a complete monthly record of the final posting of all university financial transactions, listed by account number. It is used to prepare periodic financial statements. Records contain: the program name; account number; posting date; debit and credit

amounts; new balance; and related information. This is a closed series that was discontinued when the institution adopted the Banner Financial Information System (FIS). (**Retention:** (a) 15 years for List 13, destroy (b) 5 years for Lists 1-12, destroy)

(9) **Miscellaneous Accounting Reports Records** document the production of various accounting reports made by individual offices or departments on a daily, monthly, quarterly, or annual basis. These reports provide summary information relating to the department and its programs, and may be used for planning or review. Reports include operating statements, year-end projections, reconciliations, and expenditures by facilities, accumulated hours and dollars by employee, summaries of assets and liabilities, sales, cost accounting, and income. This series does not include the year-end Closing of the Books Reports. Records may include but are not limited to working papers; drafts; final reports; and related documentation and correspondence. (**Retention:** (a) 5 years for annual reports, destroy (b) 1 year for daily, monthly, and quarterly reports and working papers, destroy)

(10) **Operating and General Ledger Reconciliation Records** Records document monthly reconciliations with the operating ledger or general ledger. Records consist of working papers and monthly reconciliation reports. (**Retention:** 6 years, destroy)

166-475-0045

### Fiscal — Cash Records

(1) **Bank Advice Statement Records** Records document discrepancies (over or short) on bank deposits made by institutional cashiers. It is also a record of discount charges and rental charges by the bank for bank card use. Records consists of bank initiated advisories received by Business Affairs for adjustments to accounts because of bank or office clerical errors. (**Retention:** 4 years, destroy)

(2) **Cash/Deposit Match Records** Records document the equality or inequality of cash receipts versus bank deposits on a daily basis. Records consist of weekly reports that list the account numbers managed by the office with daily entries for cash receipts in each account and corresponding bank deposits in each account. The computer program flags those accounts where daily cash receipts do not equal bank deposits for that date and labels them “Out of Balance.” (**Retention:** 4 years, destroy)

(3) **Cash Receipt Records** Records document transactions for cash received by the agency. Records may include cash register tapes or equivalent, copies of receipts, and batch sheets. Records include cash batch records, monthly cash reports and weekly cash summary reports. (**Retention:** Retain 6 years, destroy)

(4) **Cash Records** Records document cash received or disbursed by an office. It also documents all money received and deposited to departmental accounts through the cashier’s daily bank deposits. Records may include but are not limited to departmental deposit slips; cash receipt slips; validation receipts; cash register tapes; bank deposit slips; check stubs; petty cash balance sheets; check registers; Cash by Account Number reports; check images; credit card receipts; and cash register reports (**Retention:** 5 years, destroy)

(5) **Cashier’s Daily Summary Records** Records document and summarizes tellers’ daily activity. Information includes amounts processed for payments; amount of checks; activity to and from the vault; beginning and ending daily cash; deposits made by other units; and cash over/short amounts. (**Retention:** 4 years, destroy)

(6) **Credit Voucher Requisition Records** Records document funds released to students by the cashier division of Business Affairs as authorized by other units. Records include recipient signed receipts acknowledging receipt of funds from the Cashier; check stubs; and other documents. (**Retention:** 5 years, destroy)

(7) **Log Out Records** Records document checks processed by the office and given to another party. The record is generated for cashier’s window reference purposes. Records include photocopies of checks logged out to other departments; returned to sender; handed back to student; and co-payee GSL/SLS checks in which the total check was used to pay charges or change given to student. (**Retention:** 4 years, destroy)

(8) **Safekeeping Records** Records document funds placed with Business Offices for safekeeping in trust and their disbursement to students or departments. Funds may be placed by associations, corporations, or parents on behalf of specified students or departments. Records may include disbursement instructions; copies or images of checks; and receipts. (**Retention:** 4 years, destroy)

(9) **Ticket Sales and Event Cash Reconciliation Records** Records document the printing, selling, distribution, and accounting of tickets for university-sponsored athletic, performing arts, and other events where tickets are sold for admission. A portion of athletic event receipts is shared with visiting teams. Records may include ticket stock orders; ticket type reports; ticket purchase manifest forms; box office balance sheets; ticket printing and control records; season ticket sales lists; receipts and orders for mail, phone, or in-person purchase of tickets; ticket sales summary sheets and reports; free ticket sign-up sheets; lists and reports of free tickets distributed to patrons, contributors, and others; deposit receipts; and related documentation and correspondence. Records pertaining to athletic events are kept in compliance with NCAA and state requirements. (**Retention:** 5 years, destroy).

166-475-0050

### **Fiscal — Payables/Receivables Records**

(1) **Accounts Aging Records** Records document a cumulative listing by accounts receivable number of all receivables on the Accounts Receivable master file in the Banner Student Information System. For each receivable, the amounts that are not yet due, currently due, and overdue are indicated by fiscal year. Records consist of account listings sorted numerically by customer showing balances. Listings are generated at the end of the fiscal year and at other times upon request. (Retention: (a) 10 years for year-end listing, destroy (b) 4 years for other listings, destroy).

(2) **Accounts Payable Records** Records document a department's expenditures and purchases. The series may also be used to research, evaluate, and monitor prior transactions and/or track the budget. Records may include but are not limited to departmental purchase orders; contract release orders; balance sheets; bills; invoices; invoice vouchers; journal voucher/entry forms; price quotes; State of Oregon "B" Purchase Orders; departmental requisitions; justifications of purchases; payment authorizations; reports of receipt of goods or services; and related documentation and correspondence. (Retention: 6 years, destroy).

(3) **Accounts Receivable Records** Records document a record of billings and collections for the office and units/programs which report to the office. It is also used to provide a record of customers owing monies and to reconcile the account. Records may include but are not limited to Account Edit sheets; classified advertisement forms; credit card payment forms; invoices; journal vouchers; receipts; returned checks; and related documentation and correspondence. (Retention: 6 years after collected or deemed uncollectable, destroy).

(4) **Accounts Receivable Subsidiary Records** Records document history of charges and payments recorded for each customer on the Banner Student Information System. Records consist of customer lists sorted by account number with charges and payments recorded for each customer in chronological sequence. (Retention: 6 years, destroy).

(5) **Accounts Receivable Write-off Records** Records document debts of Accounts Receivables written off with the approval of the Institution's business office. Records include accounts receivable invoices; write-off worksheets; and due diligence documents. (Retention: 6 years after write-off, destroy).

(6) **Canceled Checks Records** Records document redeemed checks written on university accounts. Information on each check may include check number, date, amount, endorsement, account number, validation data, and related documentation. (Retention: 6 years, destroy).

(7) **Check Conversion Records** Records document checks received from customers that are electronically deposited after being imaged and converted to an Automated Clearing House (ACH) transaction or Image Replacement Document (IRD) (Retention: (a) Retain original paper instrument 30 days, destroy (b) Retain ACH transaction or IRD 6 years, destroy).

(8) **Check Stubs** Records documents the issuance of checks for payment in exchange for goods and services including payroll. Records include check stubs. (Retention: 6 years, destroy).



(9) **Collection Records** Records document the office's efforts to collect unpaid accounts. Records include collection letters; notices; letters of transmittal; and bankruptcy records. (Retention: 6 years after account is paid in full or written off, destroy).

(10) **Credit and Debit Receipts** Records document credit or debit card receipt documenting payment received by agency. Records include customer's name and account information (Retention: Retain 36 months after transaction, destroy).

(11) **Credit Card Administration Records** Records documents administration of credit cards issued to institutional staff and units. Records may include applications; master monthly billing statements; individual card holders' statements; billing summaries; reports including vendor analysis by code; number of charges and stores; use summaries; related correspondence. (Retention: (a) 6 years after card expiration for applications, destroy (b) 6 years for all other records, destroy).

(12) **Moving Expenses Records** Records document new employees' moving and travel expenses paid by the institution. Records may include but are not limited to requests for approval-travel and moving reimbursement of new employee forms; purchase orders; travel reimbursement requests; vendor invoices; and receipts. (Retention: 6 years, destroy).

(13) **Refund/Disbursements Request Records** Records document requests and disbursements made for overpayment and refunds. Records include accounting data for refunds from parking violation fines paid and successfully appealed; tuition and fee refunds when courses are dropped; refunds for event tickets, loan overpayments, change-of-residence, and canceled courses; a log of refunds and requests for reissue of lost checks. (Retention: 6 years, destroy)

(14) **Registration Fee Records** Records document the payment of registration fees, which are considered travel expenses. Records may include but are not limited to completed registration forms; journal vouchers; invoices; purchase orders; and wire transfer forms. (Retention: 6 years, destroy).

(15) **Revolving Charge Agreements Records** Records document a student's agreement with the provisions of the accounts receivable revolving account and his/her intent to attend the institution. Records include agreement forms signed by each student. (Retention: 3 years after last enrollment and account paid in full, destroy).

(16) **Travel Records** Records document requests for and approval of travel by employees of the institution or the agency; to monitor travel expenditures; for planning purposes; to document changes in dates of travel, changes in the name of the traveler, changes in itinerary, or changes in funding sources within an out-of-state travel authorization; and to document approval for vehicle rental. Records may include but are not limited to out-of-state travel authorization forms, travel itineraries, travel advance forms, travel reimbursement requests (employee and non-employee), receipts, approval memos, vehicle mileage reporting records, memos in place of itemized receipt, affidavits of lost receipt memos, authorizing signatures, airfare documentation and related documentation and correspondence. (Retention: 6 years, destroy).

(17) **Unclaimed Property Report Records** Records document annual reports submitted to the Department of State Lands of financial assets being held for a person or entity that cannot be found. Series includes Holder Report, owner information, correspondence and other related documents. Note:

Unclaimed property is not real estate, abandoned personal property, or lost and found items.  
(Retention: 3 years after the property is remitted to the Department of State Lands).

166-475-0055

## Financial Aid Records

(1) **Athletic Scholarship and Grant-In-Aid Award Records** This series is used to provide athletic departments with information pertaining to player eligibility and receipt of financial aid in the form of scholarships including grant-in-aid scholarships, to monitor accounts, and to assist in complying with NCAA, NAIA and conference rules and regulations. These records include squad lists which furnish summary information; conference eligibility reports; team roster update sheets; scholarship count sheets showing who is on the schedule to receive aid; applications; nominee lists; eligibility questionnaires; eligibility reports which determine years of eligibility unused; credit voucher request sheets notes; and related documentation and correspondence. (**Retention:** (a) 10 years for NCAA records, destroy (b) 5 years for all other records, destroy)

(2) **Borrowers Loan Records** Records document and is a monitoring tool for all Perkins and National Direct Student Loans that have been canceled because of bankruptcy, death or disability, bad debts, write-offs, and assignments. This series consists of files for each borrower. This series may include but is not limited to repayment schedules; statements of rights and responsibilities; records of actions taken; and related documentation and correspondence. (**Retention:** (a) 3 years after loan repayment or assignment to U.S. Department of Education, destroy (b) 3 years after debt cancellation or assignment to U.S. Department of Education for canceled loans, destroy)

(3) **Credit Bureau Reports Records** document holders of student loans that have been reported to credit bureaus. This series contains reports which list each borrower's name; the amount past due; and related documentation. (**Retention:** 2 years after collected or deemed uncollectable, destroy)

(4) **Federal Title IV, Program Records**, Institutional Records Records document eligibility to participate and school's administration of Federal Title IV and programs. Records include Institutional Program Participation Agreement; Recertification; Education program eligibility; Accreditation reviews; and reports; State agency reports; Audits and program reviews; Other records, as specified in regulation, that pertain to factors of financial responsibility and standards of administrative capability; and Consortia Agreements between and amongst schools. (**Retention:** (a) Agreements: 6 years after expiration, destroy (b) Records pertaining to borrower eligibility: 3 years after the end of the award year in which the student borrower last attended the institution, destroy (c) Fiscal Operations Report, Application to Participate and supporting documentation: 3 years after the end of the award year in which the FISAP is submitted, destroy (d) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: Until the resolution of that questioned loan, claim, or expenditure, or the end of the Retention period applicable to the record, whichever is longer, destroy)

(5) **FFELP and Direct Loan Records** Records relate to Federal Family Education Loan Program (FFELP and Direct Loan Programs including but not limited to Eligibility (student and/or parent); Application; Disbursement records; Promissory notes; and Student Status Confirmation Reports (SSCR). (**Retention:** (a) Records relating to a student or parent borrower's eligibility: 3 years after the end of the award year in which the student borrower last attended the institution, destroy (b) Other records relating to the participation in FFEL or Direct Loan Program: 3 years after the end of the award year in which the records are submitted, destroy (c) Records involved in any loan, claim, or expenditure questioned by a

Title IV, HEA program audit or review, investigation, or other review: Until the resolution of that questioned loan, claim, or expenditure; or the end of the Retention period applicable to the record, whichever is longer, destroy)

(6) **Financial Aid Annual Reports Records** document cumulative loan activity of each fiscal year through a required year-end report made to the U. S. Department of Education. Records may include but are not limited to schedules and instructions; working papers; exhibits audit reports; findings; rebuttals; and related documentation and correspondence. **(Retention:** (a) Audit reports, exhibits, findings, rebuttals: 20 years, destroy (b) Other records: 5 years after completion of audit, destroy)

(7) **Financial Aid Transcripts Hold Records** Records document monitoring of students who have been delinquent in or in default of financial aid payments. Records include lists indicating: students' names and addresses; academic majors and standings; and account status. This is a closed series. **(Retention:** 5 years, destroy)

(8) **Fiscal Records and Reports Records** document Federal Title IV Aid transactions, including receipt, management and disbursement of funds. Records of all Title IV program transactions; Bank statements for all accounts continuing Title IV payments, cash disbursements, refunds, and repayments; General ledger (must be separate from school's other financial transactions) and related ledgers that identify each Title IV program transaction; Federal work-study payroll records; Annual Federal Fiscal Operations and Applications for Funds Report (FISAP). Records support data appearing on required reports: Federal Pell Grant Statements of Account; ED Payment Management system cash requests and quarterly or monthly reports; Title IV program reconciliation reports; Audit reports and school responses; State Grant and Scholarship award rosters and reports: Accrediting and licensing agency reports. **(Retention:** 3 years after the end of the award year unless otherwise specified, destroy. FISAP exception: 3 years after the end of the award year in which the FISAP was submitted, destroy)

(9) **Graduate Student Tuition Remission Records** Records document the remission of tuition for courses taken by eligible graduate students, such as research and/or teaching assistants. This series may include but is not limited to authorizations; reconciled lists; account summaries; and related documentation. **(Retention:** 8 years, destroy)

(10) **Loan Activity Records** Records document payments, adjustments, draw advances, address and status changes, cancellations, deferments, and postponements on borrower's accounts. **(Retention:** 3 years after loan is paid, destroy)

(11) **Minority Scholars Program (MSP) Records** Records document the application, selection, and progress of students belonging to various minority groups who apply for the OUS Minority Scholar Scholarship. This series may contain but is not limited to MSP applications; candidate selection information; academic and personal information about applicants; notifications of award; notifications of denial of award; applicants letters of decline; notification of transfer to another institution; and related documentation and correspondence. This is a closed series. **(Retention:** 5 years after award notification, destroy)

(12) **Pell Grant Reports Records** document summary of reports submitted to the Pell Grant Scholarship program on a routine basis. Reports are submitted on OMB 1840-0540 and summarize money awarded, received and disbursed, the balance remaining, and dates. **(Retention:** 5 years after audit, destroy)

(13) **Perkins Loan Program Records** Records relate to Perkins Student Loan, National Direct Student Loan, and Nursing Loan; and show each borrower's payment history (showing date and amount of each repayment) and amount of each repayment credited to principal, interest, collection costs, and penalty or late charges. Documentation of each contact with borrower or endorser in collection of overdue loan, including date, nature, result of the contact, and copies of all correspondence, collection agency reports, and litigation records. **(Retention:** (a) Records relating to the administration of the loan: 3 years after the end of the award year for which aid was awarded and disbursed, destroy (b) Fiscal Operations Report, Application to Participate and supporting documentation: 3 years after the end of the award year in which the FISAP is submitted, destroy (c) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: Until the resolution of that questioned loan, claim, or expenditure; or the end of the Retention period applicable to the record, whichever is longer, destroy)

(14) **Student Loan Cash Input Transaction Lists Records** document the repayment of student loans on a daily basis and is used to apply the loan payments to the individual student accounts. This series includes daily listings of loan payments received. **(Retention:** 4 years, destroy)

(15) **Student Financial Aid Records** Records document student eligibility common to all Federal Title IV Aid Programs. May include, but not limited to: Student Aid Report (SAR) or Institutional Student Information Report (ISIR) used to determine eligibility; documentation of need and eligibility for Title IV funds; Cost of attendance information; documents used to verify applicant data; required student certification statements and supporting documentation; documentation of all professional judgments decisions; financial aid history information for transfer students; documentation of student's satisfactory academic progress; documentation of amount, date, and basis of all refund and repayment calculations for a student (last dates of attendance, grade rosters); and documentation of outside resources. **(Retention:** (a) Records relating to a student or parent borrower's eligibility: 3 years after the end of the award year in which the student borrower last attended the institution, destroy (b) Other records relating to the participation in FFEL or Direct Loan Program: 3 years after the end of the award year in which the records are submitted, destroy (c) Fiscal Operations Report, Application to Participate and supporting documentation: three years after the end of the award year in which the FISAP is submitted, destroy (d) Records involved in any loan, claim, or expenditure questioned by a Title IV, HEA program audit or review, investigation, or other review: Until the resolution of that questioned loan, claim, or expenditure or the end of the Retention period applicable to the record, whichever is longer, destroy)

(16) **Student Loan Check Request Lists Records** document loan disbursements made to students. This series consists of quarterly lists of loan checks issued from either the Controllers Division or the institution Business Manager's Revolving Fund. This is a closed series. **(Retention:** 4 years, destroy)

(17) **Student Loan Payment Coupons Records** document payments made by holders of student loans. This series consists of payment coupons which accompany each quarterly or monthly payment made to the student loan office. **(Retention:** 4 years, destroy)

(18) **Student Promissory Notes Records** document promissory notes for student loans negotiated for the current academic year. The notes become part of the borrowers loan records at the end of the academic year. **(Retention:** 3 years after repayment, destroy)

(19) **Work Study Program Administrative Records** Records document the administration of the Federal Work Study program at the institution. Records include job descriptions; award letters; pay rate change notices and related correspondence. (**Retention:** 3 years, destroy).

166-475-0060

### Grants and Research Records

- (1) **Commercial Companies Records** Records document cooperative relationships with commercial companies in sharing research materials and data. This series may include but is not limited to cash receipt acknowledgments; requests for sample products; acceptances of products; and related correspondence. **(Retention: 5 years, destroy)**
- (2) **Conflict of Interest Forms** Records document potential conflicts of interest involving state employees. This series may include but is not limited to Conflict of Interest and Commitment Disclosure Forms and related documentation and correspondence. **(Retention: 3 years, destroy)**
- (3) **Grant Direct Payment Records** Records document requests and justification for transfers of direct payment funds from federal grantors. This series may include but is not limited to federal cash position reports; spreadsheets of various federal sources and cash needs; requests for cash; credit advice from the U. S. Treasury; and related documentation and correspondence. **(Retention: 5 years, destroy)**
- (4) **Grant Indirect Cost/Returned Overhead Records** Records document the analysis of grant indirect costs in order to prepare returned overhead figures for institutional departments and is used to submit notification for the budget to be adjusted. The returned overhead report is prepared twice during the year. Estimates are prepared and reviewed by departments and used in budget preparation. A final report is used for budget adjustment. This series may include but is not limited to spreadsheets; work sheets; and related documentation and correspondence. **(Retention: 5 years after final financial report is submitted and account is closed, unless otherwise specified as longer by terms of contract for all other records, destroy)**
- (5) **Grant Funded Projects Research Records** Records document the research activity associated with grant-funded projects. This series may include but is not limited to research data; working papers; research/activity reports; summary reports; and related documentation and correspondence. **(Retention: (a) Permanent for final research report (b) 5 years after final financial report is submitted and account is closed, unless otherwise specified as longer by terms of contract for all other records, destroy)**
- (6) **Grant Proposal Funded Records** Records document grant proposals developed and prepared by the institutional units that were funded. This series may include but is not limited to supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence. **(Retention: (a) Permanent for proposal, attachments, correspondence, final reports (b) 5 years after final financial report is submitted and account is closed for all other records, unless otherwise specified as longer by terms of contract for all other records, destroy)**
- (7) **Grant Proposal Unfunded Records** Records document grant proposals developed by institutional units which have not been funded. This series may include but is not limited to supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence. **(Retention: 18 months after submission, destroy)**
- (8) **Grants and Contracts Accounting Records** Records document the establishment and administration of individually sponsored grant and contract restricted funds accounts, documents compliance with

fiscal reporting requirements, and includes billing information for accounts receivable from sponsoring agencies and from departments for gift account fees. Grants may be federal, state, corporate, or private. This series may include but is not limited to project summaries; grant authorizations; contract documents; project budget change and adjustment forms; invoices; receipts; cashier's receipts; equipment purchase orders; prior approval request forms; account request forms; vendor telephone contact logs; subcontracts; grants and contracts monthly budget summary statements; institution billings balance sheets; SF272 reports for grants and contracts that are operating on direct payments; final financial reports; property reports; patent/invention reports; contractor's release report; assignment of refunds and rebates documents; equipment disposition reports; and related documentation and correspondence. **(Retention: 5 years after annual or final financial report is submitted unless otherwise specified as longer by the terms of the contract, destroy)**

(9) **Human Subjects Records** Records document the review of research proposals that involve any type of use of human subjects. Reviews may be made by the entire review board, selected members, or the board's chair. Records may include applications for approval by the review board; Protection of Human Subjects forms (OMB-0531-0009); Protection of Human Subject -- Assurance/Certification/Declaration forms (OMB-0925-0637); descriptions of protocol; signed consent forms; sample questionnaires or surveys; copies of grant proposals; review summaries; and related memoranda and correspondence. **(Retention: (a) 5 years after completion of the project/contract or funded projects, destroy (b) 3 years for unfunded/withdrawn/denied project applications and documentation, destroy)**

(10) **Institutional Animal Care and Use Records** Records document the care and proposed use of animals by the university for research purposes. Records include institutional animal care and use forms; research proposal check-off forms; and related correspondence. **(Retention: (a) Records that relate directly to proposed activities and proposed significant changes in ongoing activities reviewed and approved by the IACUC 3 years after completion of the activity (b) All other records 3 years, destroy)**

(11) **Institutionally Funded Research Records** Records document the activities of the institutional councils and boards, which review proposals and make recommendations for awards to faculty (especially new faculty) for research that is not otherwise supported by organized or directed programs but is designed to lead to other funding sources. Examples of projects funded are pilot research, emergency funding, emerging research opportunities, new research field or new research field for investigator, developing research laboratories, and centrally shared research resources. This series may include but is not limited to applicant case files; agendas; minutes; reports; notes; working papers; funding summaries; award letters; applications for research support; personal data; final research reports; and related documentation and correspondence. **(Retention: (a) Permanent for minutes and final research reports (b) 5 years for funding summaries and funded applications, destroy; one year for all other records, destroy)**

(12) **Laboratory Notebooks** Records document the routine research activities of non-grant funded research projects. This series may include but is not limited to notebooks; binders; notes; or any other type of journal format. **(Retention: 6 years after completion of project, destroy)**

(13) **Laboratory Reports** Records document the results of laboratory testing performed for clients. The reports may include but are not limited to case numbers; client names; details of tests and procedures performed; test results; evaluations; and related data. **(Retention: 6 years, destroy)**



(14) **Non-Grant Funded Research Project Records** Records document the research activity associated with non-grant funded projects. This series may include but is not limited to research data; working papers; research/activity reports; summary reports; and related documentation and correspondence. **(Retention:** (a) Permanent for final research report (b) 5 years for financial records, destroy (c) 1 year after close of project for all other records, destroy

(15) **Other Payroll Expenses (OPE) Reports** Records document payroll overhead costs. Information in this series may include but is not limited to employee names; social security numbers; institutions; classifications of positions; units of employment; pay periods; gross pay amounts; various withholdings; overhead amounts; and the accounts used to pay employees. **(Retention:** 6 years, destroy)

(16) **Personnel Activity Report Forms (PAR)** Records document Classified and Academic employees' efforts involving indirect activities such as instruction and departmental research, and direct activities toward externally funded projects. The series is maintained in compliance with regulations of the Federal Office of Management and Budget (OMB) as set forth in OMB Circular A21 and in agreement with the U.S. Department of Health and Human Services. The PAR system is used to produce an equitable distribution and/or substantiation report of charges for employees' activities and to distinguish the employees' direct activities from their indirect activities. Information on the individual forms includes institution name; employee name; social security number; monthly salary rate; department code; account name and number; transaction codes; pay amounts for each account number; PAR codes; comments; authorizing signatures; and dates of authorization. **(Retention:** 6 years, destroy)

(17) **Scientific Misconduct Records** Records document accusations of misconduct brought forward by or against faculty or students and relating to research projects. These records include accusation statements; inquiry committee findings; and related correspondence. **(Retention:** (a) 6 years after the expiration of the grant: all records not in litigation, destroy (b) 1 year after end of litigation: all records in litigation, destroy)

(18) **Technology Transfer Records** Records document the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. This series may include but is not limited to: original patents; patent applications; international licensing agreements; agreements giving permission for institutional researchers to use other patented inventions in their research; and related documentation and correspondence. The series may also include invention disclosure forms that list the names of the inventors; descriptions and titles of inventions; sources of funding to create the inventions; details of the provenance of the inventions and their documentation; to whom the inventions have been disclosed; suggested manufacturers; reports issued concerning the inventions; and signatures of inventors and technically qualified witnesses. **(Retention:** (a) Permanent for original patents, formal invention assignment forms, license agreements, patent legal transactions, and invention disclosure forms (b) 6 years for all other records, destroy)

166-475-0065

## Health Services Records

(1) **Client Records** Records document provision of health-related services to clients on an outpatient basis by offices other than the student health center. Examples of types of services are speech therapy; hearing testing, and cholesterol screening. This series may include but is not limited to tests; goals and objectives; diagnostic reports; questionnaires; and related data. (**Retention:** 7 years after last service or until client reaches age 21, whichever is longer, destroy)

(2) **Communicable Disease Records** This series fulfills the public health requirement of reporting the discovery of communicable disease. This series may include but is not limited to laboratory test results; name and address of client or patient; date; and person making referral. Information is transferred to the county health department, but the log is maintained by the laboratory. (**Retention:** 5 years, destroy)

(3) **Counseling, Psychological, and Psychiatric Case Records** Records document all clients who are provided counseling, psychological, and psychiatric services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. Records may include extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation. (**Retention:** 7 years after last contact, destroy)

(4) **Health History Forms Records** document a student's medical history. The series contains student medical history forms for students who have never visited an institutional student health center and therefore do not have a medical record on file. These forms are a prerequisite for enrollment at most institutions. (**Retention:** 7 years after last service, destroy)

(5) **Immunization Reporting Records** Records document compliance with Oregon State Health Division reporting requirements for immunizations given to patients. Records may include immunization log sheets; annual reports; ITARS (Immunization Tracking and Recall System) documentation and related correspondence. (**Retention:** (a) 25 years from last date of service for ITARS records, destroy (b) 10 years for immunization log sheets and annual reports, destroy (c) 7 years after last service for all other records, destroy)

(6) **Laboratory Inspection Records** Records document in-house inspection of laboratory equipment on a quarterly basis. This series may include but is not limited to a checklist of all equipment; calibrations; and conditions. (**Retention:** (a) For the life of the equipment for calibrations, destroy (b) 3 years for all other records, destroy)

(7) **Laboratory Test Requests Records** document physician orders for laboratory tests for students receiving services at the student health center. This series may include but is not limited to name of student; date; test(s) ordered; and physician's signature. (**Retention:** 2 years, destroy)

(8) **Licensure Records** Records document the professional and regulatory issuance of credentials to individuals and facilities providing services within the student health center. This series may include but is not limited to license applications; College of American Pathologists comparative test results for

laboratory licensing; Oregon Pharmacy Board Retail Drug Outlet/Controlled Substance Registration (license) and inspection reports; individual employee professional licenses; and related correspondence. (**Retention:** Until superseded or obsolete, destroy)

(9) **Medical Records** Records document the medical services history provided for students treated by the student health center. This series may include but is not limited to appointment request slips; summary sheets; bacteriology test results; treatment record forms; diagnosis sheets; health history/screening sheets; initial evaluation/assessment sheets; referral sheets; health center billing statements; personal health history sheets; dental examination sheets and X-rays; laboratory test results; physical therapy notes; X-ray release forms; X-ray requisitions with narrative of radiologist; notes; memoranda; and related correspondence. (**Retention:** 7 years after last service or until client reaches age 21, whichever is longer, destroy)

(10) **Non-Student Medical Records** Records document medical services provided to non-students by the institution's student health center, such as allergy shot, vaccines, and blood pressure checks. Records include medical history forms; notations of services provided and dates; payment information; and related correspondence. (**Retention:** 7 years after last service or until client reaches age 21, whichever is longer, destroy)

(11) **Patient Logs Records** document patients who visit the student health center (both in-patients and out-patients). It may also be used to create annual census reports and 3-year census comparisons. Log information may include the date and time that the patient came in; the physician assigned; diagnosis; admission/discharge date; length of stay; and remarks. (**Retention:** 3 years, destroy)

(12) **Patient Satisfaction Surveys Records** document patient comments on services provided by the student health center and is used to plan for a change in services. The surveys may include but are not limited to rating of services; type of services rendered; statistics about the student; and possibly names and addresses. (**Retention:** 3 years, destroy)

(13) **Pharmacy Prescription Dispensation Records** Records document individual, daily summary, and annual summary record of initial drug dispensation and refills administered by the department as required by the Oregon State Pharmacy Board. This series may include but is not limited to prescription slips; in-house computer-generated Rx registers; controlled substance reports; and data base purge reports. (**Retention:** 3 years, destroy)

(14) **Practitioner Schedules Records** document the practitioners' work schedules which are used to clarify assigned responsibilities. This series includes dates and times of assignments; practitioner names; and responsibilities. (**Retention:** 2 years, destroy)

(15) **Radiographic Quality Assurance Records** Records document the setting of measurable standards and procedures for radiographic safety and professional quality by professionals on staff. This series may include but is not limited to reports by the radiographic staff; quality assurance committee notes; and staff reviews. (**Retention:** 3 years, destroy)

(16) **Student Health Insurance Records** Records document students' insurance coverage activity under institution insurance policies. This series may include but is not limited to benefit explanations; payment summaries; photocopies of checks; invoices; policy change sheets; ledgers; individual student

correspondence relating to their coverage; and related correspondence with the insurance company.  
**(Retention: 2 years after expiration of policy, destroy)**

**(17) Surgical Instrument Sterilization Records** Records document the sterilization of surgical instruments used by the student health center. This series may include but is not limited to autoclave recording charts and log sheets indicating date; load number; items sterilized; and temperature/time settings. **(Retention: 1 year, destroy)**

**(18) X-Rays** This series consists of student X-rays taken by student health center staff. X-rays are stored alphabetically in envelopes identified by year, name, and view. This series may also include but is not limited to a log of X-rays going out and coming in for professional reference and related documentation. **(Retention: 7 years after date of last service, destroy).**

## Information Management Records

(1) **Computer System Maintenance Records** Records document the maintenance of the institution's computer systems and is used to insure compliance with any warranties or service contracts, schedule regular maintenance and diagnose system or component problems, and document system backups. Records may include computer equipment inventories; hardware performance reports; component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records); system backup reports; and backup tape inventories. **(Retention:** (a) For life of system or component for records related to system or component repair or service, destroy (b) Until superseded or obsolete for records related to regular or vital records backups, destroy)

(2) **Computer System Program Documentation Records** Records document the addition, modification, or removal of software from an institutional, departmental or office computer system. Records usually fall into six categories — records that document operating systems; records that document the in-house creation and modification of application programs; records that document the structure and form of datasets; records that document the use of commercial software packages; records that document the structure of the system; and records that document system-to-system communication. Records may include system overviews; operations logs; job listings; operator instruction manuals; system development logs; system specifications and changes including narrative and flow chart descriptions; conversion notes; dataset logs; dataset inventories; dataset record layouts; hard copies of tables; data dictionaries; data directories; programming logs; program specifications and changes; record layouts; user views; control program table documentation; program listings; and commercial software manuals. **(Retention:** For the life of the system, destroy)

(3) **Computer System Security Records** Records document the security of an institution, department, or office computer system. Records may include but are not limited to employee access requests, passwords, access authorizations, system access logs, encryption keys, and related documentation. This series also includes "Banner Request for Access Forms" which are used to track Banner user accounts to ensure appropriate access to various databases. **(Retention:** (a) 3 years for system access logs, destroy (b) 3 years after superseded or obsolete for all other records, destroy)

(4) **Forms Development Records** Records document the development of new or revised forms within the institution and is used to provide a history of previous forms. Records may include sample forms; drafts; revisions; form logs/listing; proposals; authorizations; and illustrations. **(Retention:** Until superseded or obsolete, destroy)

(5) **Information System Planning and Development Records** Records document the planning and development of university information systems. Although these records typically document computerized information systems, they may also document manual filing systems and microfilm systems. The records are used to insure that planned systems will help an agency fulfill its missions, are cost-effective, conform to adopted information standards, and integrate with existing agency information systems. Records may vary according to the level of documentation required for each system, but may include: information technology plans; feasibility studies; cost-benefit analyses; studies and surveys; system specifications and revisions; component proposals; technical literature; vendor

literature and proposals; and correspondence. **(Retention:** (a) For life of system for implemented systems, destroy (b) 3 years for unimplemented systems, destroy)

(6) **Microfilm Quality Control Records** Records document that microfilm produced by or for system institutions conforms to the specifications required by Oregon Administrative Rules 166-025-0005 to 166-025-0030. Records may include: microfilmed records lists; microfilm reel indexes; service bureau transmittals; film inspection reports; methylene blue certifications; Security Copy Depository transmittals; camera/processor/duplicator inspection reports; equipment and operator logs; and correspondence. **(Retention:** For the same Retention period as related microfilm, destroy)

(7) **Software Management Records** Records document the use of software in university information systems. The series is used to insure that university software packages are compatible, that license and copyright provisions are in compliance, and that upgrades are obtained in a timely manner. Records include software purchase records; software inventories; software licenses; site licenses; and correspondence. **(Retention:** Until software is disposed of or upgraded, destroy)

(8) **Telecommunication System Management Records** Records document the creation, modification, and disposition of university telecommunications systems. Records include: equipment records; Federal Communications Commission records; repair order forms; system planning records; telecommunications maintenance contracts and service orders; and related correspondence. **(Retention:** For life of system, destroy).

**166-475-0075**

### **Institutional Services Records**

(1) **Authorization Code Ordering and Assignment Forms Records** document the assignment of long distance authorization codes to institution employees. This series consists of authorization code ordering and assignment forms which list an activity code; user/function name; account number; FRL code; and authorization code number for each employee assigned a code. (**Retention:** 2 years after superseded or revoked, destroy)

(2) **Automatic Call Distribution Vector Records** Records document the technical programming for each automatic call distribution (ACD) account on campus. This programming, known as vector instructions, electronically routes phone calls coming in to a given phone number account, known as a split, to available phones or message systems. This series also contains the names of staff members and extension numbers that are appropriate to each account. This series may include but is not limited to vector instructions sheets; announcement scripts; lists of supervisor extensions of each split; lists of ACD member extensions of each split; and related documentation and correspondence. (**Retention:** 2 years, destroy)

(3) **Bicycle Licenses/Permits Records** Records document the registration of bicycles on campus. This series includes registration cards completed by institution students, faculty, and staff for use of bicycles on campus. Information on the cards includes owner/user names; student or staff ID number; addresses; telephone numbers; bicycle frame serial numbers; bicycle models; and permit numbers. (**Retention:** 2 years after superseded or revoked, destroy)

(4) **Calling Card Records** Records document the assignment to and use of calling cards issued to institution employees. This series may include but is not limited to credit card order forms; account change documentation; and related documentation and correspondence. (**Retention:** 2 years after superseded or revoked, destroy)

(5) **Child and Youth Program Participant Records** Records document the participation of children and youth in programs sponsored by the institution, including 4H programs. The series may include but is not limited to applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence. (**Retention:** 3 years destroy)

(6) **Child Care Facility Client Records** Records document enrollment, admission, attendance, and activities of children at child care facilities operated by OUS institutions and documents compliance with applicable state agency requirements. Records may include but are not limited to applications for admission; emergency notification forms; attendance records including sign-in sheets; authorizations to administer medications; records documenting permission to obtain emergency medical treatment; records documenting permission to participate in field trips or other activities; immunization records; learning and motor skills assessments; and release forms. The series may also include a record of suspected or reported child abuse and accident reporting including narratives, notes, record of contact with state Child and Family Services representatives and law enforcement officials; records verifying staff training in child abuse recognition; and accident reporting forms. (**Retention:** 3 years after participant leaves program, destroy)

(7) **Child Care Facility Food/Nutrition Service Program Records** Records document the administration of child care food programs which provide meals to children at institution child care facilities operated by OUS institutions. Typically, application is made annually to the U.S. Department of Agriculture for assistance in running food service programs. Records may include but are not limited to meal production records, menus, and attendance forms; applicants income statements; enrollment rosters; operational reports; nutrition program reviews; food supply inventories; sanitation inspection reports; and related documentation and correspondence. (**Retention:** 4 years, destroy)

(8) **Child Care Facility License Records** Records document the licensing of school child care facilities by the Oregon Child Care Division or other licensing agencies. Records may include but are not limited to sanitation inspections, fire safety reports, fire and other emergency drill records, staff development and training records, staff criminal history checks, staff qualification forms, time sheets, staff first aid cards, staff driving records, staff orientation records, official license, Child Care Division inspection reports and certification and related correspondence. (**Retention:** (a) Staff first aid cards, licenses, certifications, and inspections, 2 years after superseded, expiration, or obsolete, destroy (b) All other records, 2 years, destroy)

(9) **Department of Motor Vehicles (DMV) Lists Records** document ticketed vehicles to owners who have not satisfied parking citations. This series contains computer reports from the Oregon Department of Motor Vehicles. Information in the reports may include but is not limited to car license plate number; name of registered owner; address of owner; and related data elements. (**Retention:** Until superseded or obsolete, destroy)

(10) **Events Administration Records** Records document facilities, services and other accommodations provided by the institution for events on campus. Records may include facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; purchase and supply records; financial and billing records; customer evaluations; summary reports; and related correspondence. (**Retention:** (a) 6 years after expiration for agreements, destroy (b) 2 years for all other records, destroy)

(11) **Facsimile (Fax) Records** Records document the sending and receiving of fax messages for institution business purposes. This series may include but is not limited to logs of messages sent and received and fax cover sheets. (**Retention:** (a) 1 month for fax cover sheets, destroy (b) 1 year for logs, destroy)

(12) **Food Handlers Registration Records** Records document the registration of food handlers such as cooks, chefs, waiters, and cafeteria workers. Information contained in the records may include name, address, phone number, and signature of food handler; place of employment; current communicable diseases; result of examination; and other related data. (**Retention:** 1 year after expiration, destroy)

(13) **Identification Cards Records** Records document the issuance of identification cards to university students, staff and faculty. Records may include: signature cards; monthly detail reports; and related correspondence. (**Retention:** (a) Until not valid for signature cards, destroy (b) 5 years all other records, destroy)

(14) **Key Issuance Records** Records document key assignments and deposits (if applicable) for institutional faculty, staff, students, and others using the institution's facilities. The series may include but is not limited to key pinning sequence records; key issue approval forms; return forms; key



inventories; hall directors' sign out forms; deposit books; bank statements; refund forms; key logs; and related documentation and correspondence. **(Retention: 1 year after key is checked in, destroy)**

(15) **Menus Records** document approved menus to be cycled on a monthly basis in each food service location. It is also used for cost planning and ordering of food and supplies. Information on the individual menus may include but is not limited to the foods to be served and the dates, times and locations of service. **(Retention: 3 years, destroy)**

(16) **Oregon Liquor Control Commission Records** Records document annual and temporary event licensing by the Oregon Liquor Control Commission for dispensing and serving alcoholic beverages. The series may also be used to document the training certification of employees. This series may include but is not limited to applications for licensing; applications for server permits; purchase orders for training costs; and related documentation and correspondence. **(Retention: 4 years after termination of license and server permit, destroy)**

(17) **Parking Citations Records** Records document the regulation of on-campus parking. This series may include but is not limited to citations; appeal petitions; and related documentation and correspondence. **(Retention: 2 years after resolution, destroy)**

(18) **Parking Permits Records** Records document the issuance of permits for on-campus parking. This series may include but is not limited to annual permit cards; registration cards; temporary permits; parking permit reports; and related documentation and correspondence. **(Retention: 2 years, destroy)**

(19) **Postal and Shipping Records** Records document items that are mailed by the department via UPS, U.S. Postal Service, Federal Express, or another carrier. Records may be used for billing and/or tracking. These records include printing and mailing shipping forms; parcel mailing order forms; postage forms; and related correspondence. **(Retention: 3 years, destroy)**

(20) **Quality Control Inspection Records** Records document the quality of services provided by a unit. This series may include but is not limited to narrative reports; inspection forms; and related documentation and correspondence. **(Retention: 2 years, destroy)**

(21) **Sanitation Records** Records document the inspection and tracking of sanitation standards of facilities such as swimming pools, food courts, day-care food services, commissaries, and warehouses. Series may include inspection reports, any deficiencies, inspection score, date and time of inspection, and signatures; copies of the licenses issued; temperature logs and other related data. Series may include plan reviews. **(Retention: 6 years, destroy)**

(22) **Telephone Complaints/Fraud Records** Records document the investigation of complaints of telephone misuse, primarily regarding student telephones and long distance bills that are reportedly not legitimate charges. This series may include but is not limited to memos; notes; copies of long distance bills; and related documentation and correspondence. **(Retention: 5 years after resolution, destroy)**

(23) **Utility Locate Requests Records** document the notification of persons anticipating digging on campus property who need to know the locations of underground utility lines. Request information may include but is not limited to the date and location of the work; miscellaneous instructions; contact person; and related documentation and correspondence. **(Retention: 2 years, destroy)**

(24) **Work Orders Records** Records document requests and authorizations for needed services and/or repairs to institutional property and equipment. It may also be used as a cost reference for future jobs. This series may include but is not limited to: copy center work orders; printing orders; photographic work orders; display preparation orders; microfilming orders; telephone service/installation requests and change orders; maintenance and repair authorizations; library materials preparation authorizations; and related documentation and correspondence. (**Retention:** 4 years, destroy).

**166-475-0080**

### **Intercollegiate Athletics Records**

(1) **Annual Fund Drive Records** Records document the plans, arrangements, and results of annual athletic fund drives. This series may include but is not limited to brochures; prize lists; pledge cards; mailing arrangements; reports; fiscal summaries; and related documentation and correspondence. **(Retention: 10 years, destroy)**

(2) **Athletic Eligibility Records** Records document verification by intercollegiate athletics of student athletes' academic progress to the NCAA or NAIA. These records include computer generated academic progress reports. **(Retention: 10 years, destroy)**

(3) **Catastrophic Injury Records** Records document on-going insurance activity on cases that qualified for catastrophic status by having claims of over \$50,000 for NCAA schools and \$25,000 for NAIA schools in the first two years of the claim. This series may include but is not limited to accident reports; annual insurance questionnaires; notes; claim forms; and related documentation and correspondence. **(Retention: 75 years, destroy)**

(4) **Claims Payment Records** Records document the verification and payment of secondary coverage insurance claims of injured student athletes. This series may include but is not limited to lists of requests for claims payment; transmittal letters (CO 163-Rev 10/91) to the Controller's Division for reimbursement of the institution; Proof of Loss (CO-164-2/92) forms; intercollegiate athletic reports from OUS Human Resources; ledgers of providers, payment amounts, and reference numbers; and related documentation and correspondence. **(Retention: 5 years after claim is settled, destroy)**

(5) **Competition Record Forms** Records document individual games and competitions and is used to comply with NCAA and NAIA reporting requirements for both revenue and non-revenue producing sports. Information on the individual forms includes sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director. **(Retention: 10 years, destroy).**

(6) **Donor Recognition Records** Records document athletic fund donors of various levels and the recognition given. This series may include but is not limited to lists of donors by gift level; award lists; and related documentation and correspondence. **(Retention: 5 years after discontinuation of donations, destroy)**

(7) **Game Arrangement Records** Records document arrangements made for and the schedules of past games. This series may include but is not limited to team practice schedules; team position assignments/depth charts; itineraries; bus lists; notes; and related documentation and correspondence. **(Retention: 5 years, destroy)**

(8) **Game Officials' Evaluation Forms Records** document the head coach's evaluation of judging officials' performance at individual sporting events. The series is also used to comply with NCAA, NAIA and conference rules and regulations. Information on the individual forms includes team names; site; game date; judging officials' names; evaluative scores; comments; and coach's signature. **(Retention: 1 year, destroy)**

(9) **Game Statistics Records** document the practice, playing, and attendance statistics about each game and the season for each sport by playing year. This series may include but is not limited to player academic statistics; attendance figures; player training charts; season and game player statistics; recruitment records; special teams statistics; rankings; awards information; NAIA and NCAA game statistics; media releases; all-conference nominations; spring and fall camp depth charts; numerical rosters; media guides; narrative reports on games and scrimmages; final team statistics for each game; NAIA and NCAA official scoring summaries; play-by-play written reports; and related documentation and correspondence. **(Retention: Permanent)**

(10) **Gift-In-Kind Donors Records** Records document donors who are available to provide services to athletic events as donations and the use of donated funds. Information in this series may include names of donors, names of businesses, type of donations, and level of giving; past gift records; and related documentation and correspondence. The series may also include contribution notices; invoices; purchase orders; and receipts. **(Retention: (a) 5 years after discontinuation of donations for donor records, destroy (b) 5 years for fiscal documentation, destroy)**

(11) **Individual Athletes Records** Records document the athletic history of each athlete who has competed at the institution. Frequently, this series is a continuation of the recruitment file and includes recruitment records if an athlete signs a letter of intent. Records may include and may not be limited to academic major information including performance reports, admissions verification reports, academic transcripts, and financial aid information; recruitment information documents; media articles; photographs; release of information forms; personal data questionnaires; records of awards; and related documentation and correspondence. **(Retention: (a) 5 years after separation from the institution for student records containing confidential information, destroy (b) Permanent for all other records)**

(12) **Insurance Records** Records document medical treatment services rendered off campus for practice or playing related injuries or illnesses which are eligible for partial payment by intercollegiate athletic insurance. This series may include but is not limited to copies of policies; accident reports; annual insurance questionnaires; notes; claim forms; negotiations correspondence; payment of insurance records; and related documentation and correspondence. **(Retention: 10 years, destroy)**

(13) **Play Books Records** document the strategies, practice time and game plays for each game and the season. This series may include but is not limited to practice plans; game plans; and game results **(Retention: 5 years, destroy)**

(14) **Positive Drug Test Records** Records document the positive results of drug testing done on student athletes. These records include lab reports; interpretations; and related documentation and correspondence. **(Retention: 5 years or end of eligibility, whichever is later, destroy)**

(15) **Practice Schedule Records** Records document practice time for athletic teams and assist in complying with NCAA, NAIA and conference rules and regulations. This series contains team rosters indicating time spent in practices; meetings; training and conditioning; and competition. **(Retention: 5 years, destroy)**

(16) **Recruiting Records** Records document the recruitment of athletes into the institution's intercollegiate athletics program. The series also provides a record of the recruitment process for prospective players created by the institution to comply with NCAA, NAIA and conference rules and

regulations. This series may include but is not limited to the institution's football questionnaire forms with personal, scholastic, football, general, and transcript release information; information request cover sheets; grade transcripts; Information for Certification of NCAA Freshman Athletics Eligibility Compliance (with By-Law 5-1-j forms, number 40-c); letters of intent; copies of admissions forms and materials; performance reports; telephone and conversation notes; mailing lists; and related documentation and correspondence. **(Retention: 5 years or end of eligibility whichever is longer, destroy)**

**(17) Scheduling Records** Records document competition schedules set up with other institutions by coaches and the athletic director. This series may include but is not limited to correspondence; phone notes; contracts; final schedules; and related documentation and correspondence. **(Retention: 6 years after expiration of contract, destroy)** **(18) Sports Merchandising Records** Records document the sale of institutional and NCAA or NAIA-licensed merchandise at sporting events. Records may include sales reports; merchandise comment sheets; and related correspondence. **(Retention: 4 years, destroy)**

**(19) Student Athletes Academic Advising Records** Records document academic advising of prospective and current student athletes, provides records of academic progress while students are involved in athletic programs at the institution, and complies with NCAA, NAIA and conference reporting requirements. These records include letters of intent; renewals of letters of intent; transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; students' requests for release from athletic programs; disciplinary memoranda; and related correspondence. **(Retention: 5 years after degree completed or last enrollment, destroy)**

**(20) Student Athletes Dining Rosters Records** document the meals consumed by student athletes as part of the training table. This series may include but is not limited to rosters with the names of athletes partaking of meals and absent from meals; menus; and related documentation and correspondence. **(Retention: 2 years, destroy)**

**(21) Student Athletes Medical Records** Records document the medical history of each athlete before and during his/her attendance at the institution. This series may include but is not limited to annual health appraisals; authorization to release information forms; treatment consent forms; assumption of risk forms; accident reports; X-rays and X-ray reports; prescription records; off campus treatment source records; insurance questionnaires; psychological counseling records; and related documentation and correspondence. **(Retention: 7 years after student is last enrolled, destroy).**

166-475-0085

### **Libraries, Archives, Museums and Other Collections Records**

(1) **Appraisal Records** Records document monetary value appraisals of institutional artifacts, objects, and collections that have been completed by private parties. This series may include but is not limited to appraisals and valuations reports; reference materials used by appraisers; and related documentation and correspondence. (**Retention:** Permanent)

(2) **Borrowers Registration Records** Records used to grant citizens library cards and privileges Individual borrower information may include but is not limited to name, address, telephone number, date of birth, signature, expiration date, identification number and related data. (**Retention:** (a) 3 years for application forms, destroy (b) 6 months after last activity for all other records, destroy)

(3) **Collection and Artifact Acquisition and Exchange Records** Records document the acquisition, accessioning, use, preservation, storage, transfer and disposition of artifacts and collections at an institution's museum, archives or library special collection, herbarium, or other repository which is used for research purposes. This series may include but is not limited to a log that lists the date of acquisition, acquisition/accession numbers assigned, brief descriptions of artifacts or collections, and donor names; gift receipt forms or other acquisition records that list detailed descriptions of artifacts, donors' name(s), addresses, telephone numbers, acquisition numbers, and values (if known); cataloging worksheets listing acquisition numbers, identification and provenance of artifacts or collections, description of artifacts, and donor/owner names and addresses; deed of gift listing transfer of legal ownership or custody of artifacts or collections, their descriptions and conditions, declarations as lawful owners of the property, and signatures and dates of transfer; object file cards showing each acquired item arranged by nomenclature; subject file cards showing each acquired item and its arrangement; numerical file cards showing each acquired item arranged in acquisition number sequence; wildlife collecting permits which are the legal documentation for having wildlife carcasses; guns and weapons registration forms which provide the legal authority for the collection unit to possess firearms; condition/conservation records, photographs of objects, and related documentation and correspondence. The series may also include donor correspondence; descriptions of property; inventory lists; incoming loan agreements; background data about the collections and/or persons associated with the collections; receipt of collections documentation; donor agreement forms or instruments of donation; purchasing data; publicity records; foundation equity history reports; declaration of charitable gifts forms; copyright and citation information. (**Retention:** Permanent)

(3) **Circulation Records** Records document the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to the name and identification of the borrower; the titles of materials borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence. (**Retention:** Until the transaction is completed, destroy)

(4) **Collection or Artifact Loan Records** Records document artifact and material loans contracted between units of the institution or between the institution and either other institutions or individuals. These records include signed and legally binding agreements for incoming and outgoing loans between the collection administrators; receipts for loans and return of materials to the legal holder; and related forms, documentation and correspondence. (**Retention:** 10 years after the termination of the loan, destroy)

(5) **Collections Control Records** Records document the maintenance of materials which typically involve accessioning, cataloguing, preserving, and/or referencing. This series may include but is not limited to: accession sheets; archives transmittal lists; accession reports; computer cataloging records; catalogs of holdings; reference guides and finding aids; request for permission to publish or reproduce images forms; (collection inquiries; budget and purchasing data;) and related documentation and correspondence. **(Retention: Permanent)**

(6) **Deaccession Records** Records document recommendations concerning deaccessioning of specific holdings and action upon those recommendations. This series may include but is not limited to transfer forms to transfer ownership/custody of materials held within institutional collections to other institutions; deaccessioning documentation which lists the artifacts by acquisition numbers and descriptions, names of persons making deaccession recommendations and dates, reasons for deaccessioning, documentation that legal searches of donor records have been done to establish that the institution is not precluded from deaccessioning and to establish whether the donors are still living, appraised values (including whether these are estimates or have been appraised), signatures of approval for deaccessioning and dates, and dispositions of materials and dates; deaccessioning and weeding listings; reports of deaccessioning; and related documentation and correspondence. **(Retention: Permanent)**

(7) **Exhibit Records** Records document the display and use of artifacts and materials held by the collection units or displays created by the units. This series may include but is not limited to research materials concerning the cultural environmental setting surrounding the artifacts; bibliographies; lists of artifacts or items considered for inclusion; drafts of exhibit descriptions or scripts; publicity or advertisements for exhibits; artifact labels; photographs of exhibits; exhibit renderings and layout diagrams; exhibit scheduling and transport information; contracts and agreements; evaluation forms; condition forms; exhibit assembly and presentation instructions; and related documentation and correspondence. **(Retention: (a) Permanent for exhibit descriptions or scripts, exhibit renderings and layout diagrams, photographs of exhibits, lists of artifacts or items considered for inclusion, and publicity or advertisements for the exhibits (b) 10 years for all other records, destroy)**

(8) **Friends Records** Records document the efforts of special interest support groups to establish relationships with community agencies, individuals, businesses, and groups to gain their assistance with the development and coordination of institutional programs. This series may include but is not limited to establishing documents; bylaws; reports; brochures; newsletters or publications; meeting agendas; minutes; and related documentation and correspondence. **(Retention: Permanent)**

(9) **Inter-Library Loan (ILL) Records** Records document requests made of the institution for materials from outside sources and also institution requests for materials from other institutions. This series may include but is not limited to materials request forms; invoices for services provided; and related documentation. **(Retention: 3 years, destroy)**

(10) **Patron and Visitor Records** Records document the public tours or individual visits to the collection or research facility. The series may include but is not limited to weekly visitor statistics; sign-in sheets; patron logs; and guest books. **(Retention: 5 years, destroy)**

(11) **Records Management Records** Records document the Retention and disposition of records created by the institution's offices and the production of an institutional records Retention and disposition

schedule approved and authorized by the State Archivist. This series may include but is not limited to records destruction authorizations; records inventory worksheets; special records disposition schedules; records transmittal lists; guides to microfilmed records; and related documentation and correspondence. **(Retention:** (a) Permanent for records destruction authorizations, records transmittal lists, and guides to microfilmed records (b) 5 years for all other records, destroy)

(12) **Reference Request Records** Records document scholarly requests for information about or access to items within the institution's collections. This series may include but is not limited to collection service request documentation forms that show requestors' names, addresses, and telephone numbers; the nature/explanation of the requests; use/purpose of the requests; dates of receipt and completion of requests; staff member handling the requests; amount of time spent on handling the requests; disposition of the requests; and related documentation and correspondence. **(Retention:** 5 years, destroy)

(13) **Serials Records** Records document the receipt and payment history for serials purchased by the libraries. This series may include but is not limited to periodical check-in cards; shelf list cards; payment cards; serials data input work form sheets; data base reports; item records; and related documentation. **(Retention:** (a) Until input and verified for shelf list cards, destroy (b) Until superseded by permanent cataloging record for check-in cards, destroy (c) 5 years for all other records, destroy).



166-475-0090

## Payroll Records

(1) **Assumed Wages Reports** Records document computation and payment of workers' compensation insurance premiums. Records document students' services performed in exchange for room and board, and volunteer and prerequisite assumed wages not paid by payroll. Information in the reports may include names, dates, social security numbers, requisition numbers, accounts to be charged, and total assumed pay for the month. (**Retention:** 4 years, destroy)

(2) **Deduction Authorization Records** Records document deductions from salary checks authorized by employees. These records include lists with notation of authorized deductions as well as actual deduction forms. This series may include but is not limited to: deduction information on medical, dental, life, and disability insurance; American Association of University Professors, GCIU, Fair Share, and Oregon Public Employees/Fair Share dues; U.S. Savings Bonds; United Way and foundation contributions; payments for library fines/lost books, parking permits, and institutional credit union accounts; Veterans Affairs; ACH Listings; personal use of state vehicles; and miscellaneous deductions. (**Retention:** 4 years after authorization expires or is superseded, destroy)

(3) **Employment Division Summary Reports Records** document the number of the institutional employees and payroll costs on a monthly basis and yearly basis. This series includes monthly reports by employee category and annual fiscal year reports which summarize the monthly data. (**Retention:** (a) 10 years for annual reports, destroy (b) 3 years for monthly reports, destroy)

(4) **Employee Time Records** Records document hours worked and leave hours accrued and taken by agency, institution and student employees. Information may include employee name and other personally identifiable information, work schedule, days and time worked, leave time, work-study related time records and approval signatures. (**Retention:** (a) 5 years after issuance of final financial report to awarding agency by the research accounting unit for records of all students paid from U.S. Dept. of Education awards, destroy (b) Retain 4 year unclassified/classified/management personnel, destroy (c) 3 years for all others, destroy)

(5) **Federal and State Tax Records** Records document the collection, distribution, deposit, and transmittal of federal and state income taxes and social security tax. Records include the federal Miscellaneous Income Statement (1099), Request for Taxpayer Identification Number and Certificate (W-9), Request for Student(s) or Borrower(s) Social Security Number and Certificate (W-9S), Employers Quarterly Federal Tax Return (941, 941E), Annual Withholding Tax Return for U.S. Source Income of Foreign Persons (1042), Foreign Person(s) U.S. Source Income Subject to Withholding (1042S), Tax Deposit Coupon (8109), Withholding Allowance Certificates (W-4), Wage And Tax Statements (W-2), and related federal and state tax forms. (**Retention:** 5 years, destroy)

(6) **Forecast and Actual Pay Reports Records** document monthly gross and actual pay by month and account number, along with other database information. It is used to view gross pay/budget records for a previous fiscal year. Data is supplied by the OUS Controllers Division. This series includes employee name and identification number; major account; salary code; FTE; rank; leave status; position title and class number; starting date; appointment; terms of service; tenure; and forecast and actual pay broken down by months of the fiscal year. (**Retention:** 4 years, destroy)

(7) **Garnishment Records** Records document requests and court orders to withhold wages from employee earnings for garnishments, tax levies, support payments, or other reasons. This series usually includes original writs of garnishment; recapitulations of amounts withheld; and related records. **(Retention: 4 years after resolution, destroy)**

(8) **Pay Authorization Records** Records document pay documents which substantiate and, in part, authorize the issuance of payroll checks for particular amounts. This series may include but is not limited to payroll/budget request forms and time cards. **(Retention: 5 years, destroy)**

(9) **Paycheck Delivery Records** Records document the locations assigned for delivery of salary payments to employees. This series may include but is not limited to paycheck deposit authorization forms; payroll check delivery logs; and related correspondence. **(Retention: (a) 3 years for payroll check delivery logs, destroy (b) Until superseded or 1 year after employee separation for all other records, destroy)**

(10) **Payroll Adjustment Records** Records document changes in employee payroll deductions, tax withholdings, and payroll records. This series may include but is not limited to pay/budget action forms; time and attendance records; pay reduction/termination notices; and related documentation and correspondence. **(Retention: 5 years, destroy)**

(11) **Payroll Check Register Records** document payroll checks issued and direct deposits. This series includes lists in check number order that show the check amount, and employee name. **(Retention: 6 years, destroy)**

(12) **Payroll Data Entry Summary Reports Records** document all timecard and payroll adjustment data entry for each payroll period. This series includes: employee names in alphabetical order; batch and document numbers; and other data. **(Retention: 5 years, destroy)**

(13) **Payroll Draws Records** Records document payroll draws. This series includes requests for emergency payroll draw forms. **(Retention: 2 years after draw has been recovered, destroy)**

(14) **Payroll Input Detail Reports Records** document daily summary of timecard and payroll adjustment data entry. This series contains separate reports for timecard input and payroll adjustment input. The reports, arranged in batch sequence and document number order, may include but are not limited to social security numbers; account numbers; gross pay; and related data. **(Retention: Until input and verified, destroy)**

(15) **Payroll Register Records** document the pay of all institutional employees. The series includes monthly listings of all paid employees with their earnings and deductions. **(Retention: 75 years, destroy)**

(16) **Purge Lists Records** document institutional employees whose records have been deleted from the personnel data base. This series contains annual lists of former employees, in alphabetical order, and includes employees names; social security numbers; class codes; dates that pay started; termination dates; and related data elements. **(Retention: 3 years, destroy)**

(17) **Revolving Fund Checks Records** document each check issued from an institutional revolving fund for payroll draws, final pay, or special pay. This series contains copies of issued checks showing name; date issued; social security number; amount; check disposition; and other data elements. **(Retention: 6 years, destroy)**

(18) **Shift Summary Sheets Records** document the time worked by employees on various jobs on a daily basis. This series is used to provide a record of time worked by employees for payroll purposes; a record of customer charges incurred for billing purposes; and cost accounting information on a real-time basis. The series may also be used as a back-up source of information for wage related grievance cases brought forth by employees. Information on the individual computer generated sheets may include: employee name; descriptions of duties performed; wages paid for each duty; time worked at each duty; output connected with each duty; and totals. **(Retention: 2 years, destroy)**

(19) **Student Loan Interest and Tuition Payment Statement Records** Records document loan interest and tuition paid by students so that deductions may be claimed on income taxes. Records may include 1098E and 1098T forms and related correspondence. This series may also include records that were attempted to be mailed or delivered but were returned or otherwise deemed undeliverable. **(Retention: 3 years, destroy)**

(20) **Student Social Security/Medicare Tax Review Reports** Records document FICA coding for student employees. The reports may include but are not limited to student name and ID number; credit hours carried. **(Retention: 5 years, destroy)**

(21) **Study Abroad Foreign Nationals Payroll Records** Records document payments to foreign nationals employed both full-time and part-time by the institution as support staff for its study abroad programs. This series may include but is not limited to agreements concerning pay rates; accounting information for payments to persons employed as secretaries and office staff, housing and transportation specialists, and food service workers; time sheets; and related correspondence. **(Retention: 75 years, destroy)**

(22) **Transaction Registers Records** document all employee database data entry transactions. This series includes daily and quarterly registers for deduction, employee, and budget transactions. The registers may include but are not limited to employee name; social security number; institution; FICA code; transaction code; nature and date of last transaction; last transaction; address; major account; class status; sex; Equal Employment Opportunity category; date of birth; ethnicity code; and related data. **(Retention: (a) 4 years for quarterly registers, destroy (b) Until superseded or obsolete for daily, daily registers, destroy)**

(23) **Wage and Tax Statement Records** Records document data reported on the annual wage and tax statements for institutional employees, corrections to these statements, and a record of transmittal to the federal government. Records include print-outs from the Controllers Division by year in social security number order which include names, social security numbers, tax subject earnings, other data required by law, and summary transmittal forms. Forms include IRS forms W-2, W-2C, W-3, and W-3C. This series also includes records that were attempted to be delivered but were returned or otherwise deemed undeliverable. **(Retention: 5 years, destroy).**

166-475-0095

## Personnel Records

(1) **Academic and Unclassified Employees Personnel Records** Records document the academic employee's work history at the Institution and includes routine, non-evaluative information such as job title, rank, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some of the documents comprising this series include confidential information such as social security number, birth date, and marital status. Records may include but are not limited to copies of Affirmative Action Compliance Data Forms; Applications for Admission to Graduate School; Applications and Contracts for Sabbatical Leave; Applications for Academic Employment; Athletic Contracts/Overseas Agreements; Conditions of Employment; Memoranda of Agreement; Notices of Appointment; Overload Compensation Requests; Patent Rights Waivers; Pay/Budget Action Forms; forms documenting personnel actions, including Salary Adjustments and Summer Session Appointments; Proposals for Academic Appointment; Requests for Approval for Outside Employment; resumes or curriculum vitae; Retirement Agreements; Leave Accrual Forms; Technology Transfer Agreements; Tenure Relinquishment Forms; employee Social Security number disclosure forms; and related documentation and correspondence, such as letters of resignation and memos confirming appointments. (**Retention:** 75 years, destroy).

(2) **Academic and Unclassified Employees Personnel Records (Supervisor's Copy)** Records document the academic employee's work history maintained in the office of the dean, director, department head, or vice provost. It includes evaluative materials and non-evaluative information such as job title, rank, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some of the documents comprising this series include confidential information such as social security number, birth date, and marital status. These records may be for full-time, part-time, and/or courtesy academic employees. Records may include but are not limited to Activity Reports; copies of Affirmative Action Compliance Data Forms; Applications for Admission to Graduate School; applications, contracts, and other records for sabbatical leave; emeritus faculty status letters; Employee Emergency Medical Information Forms; Applications for Academic Employment; Athletic Contracts/Overseas Agreements; Awards; Conditions of Employment Forms; Notices of Appointment; Overload Compensation Requests; Patent Rights Waivers; Pay/Budget Action Forms; Periodic Reviews of Faculty letters and records; forms documenting personnel actions, including Salary Adjustments and Summer Session Appointments; professional development records; Proposals for Academic Appointment; recommendations; reports of conferences attended; Staff Reports of Service to the Institution; Periodic Reviews of Administrators Summaries; reprimands; Requests for Approval for Outside Employment; resumes or curriculum vitae; Retirement Agreements; Sick Leave Accrual Forms; Teaching Evaluations; Student Evaluations of Faculty Summary Reports; Technology Transfer Agreements; Tenure Relinquishment Agreements; Employment Eligibility Verifications (Form I-9); Vacation Leave Report Forms; home address/telephone disclosures; and other relevant documents and correspondence, including commendations, letters from the chair or the dean concerning the nature of the faculty member's appointment and the expectations of the faculty member, letters granting fellowship, letter of position offer, letter of resignation, memoranda of agreement, Notices of Disciplinary Action, Notices of Layoff, and unsolicited letters praising teaching or participation in a conference. (**Retention:** 5 years after employee separation, destroy).

(3) **Affirmative Action and Equal Opportunity Records** Records document agency compliance with the statutes and regulations of the U.S. Equal Employment Opportunity Commission regarding affirmative action. Records include affirmative action plans and/or policies, and their revisions and updates, which are required to be submitted to the Governor's Affirmative Action Office. Records may also include but are not limited to reports, supporting documentation, and correspondence. **(Retention:** (a) Permanent for narrative reports, policy, mission and goal statements, Equal Opportunity and Affirmative Action plans, and audit reports (b) 20 years for EEO-6/Vets 100/Ways and Means reports and Executive Department printouts, destroy (c) 10 years for statistical and status reports, case histories, correspondence, and related documentation (d) 3 years for all other records, destroy).

(4) **Affirmative Action and/or Human Resources Recruitment Review Records** Records document view of all stages of academic hiring by the institution's affirmative action office and/or human resources office. Records may include but are not limited to position descriptions; Notifications of Academic Position Opening; Affirmative Action Compliance Data sheets; Affirmative Action compliance statements; Applicant Pool and Appointment Reports; utilization reports; payroll-budget requests or action forms; contract requests to offer appointments; certificates of eligible's or applicant lists; and related documentation and correspondence. **(Retention:** 3 years, destroy).

(5) **Appointing Authority Administrative Records** Records document persons given the authority to appoint personnel to positions (as required by special circumstances). Records include policy documentation and correspondence. **(Retention:** Until superseded or obsolete, destroy).

(6) **Bargaining Unit Records** Records document negotiations and contractual agreements between the institution and the bargaining unit; it is also used for labor relations planning. Records may include but are not limited to union contracts and amendments; tentative agreements; arbitrator's recommendations; negotiation work notes; strike contingency plans; management counter proposals; negotiation updates; newspaper clippings; press releases; research background material; employee classification printouts; Fair Share records; minutes, sound recordings, exhibits and reports of meetings; and related documentation and correspondence. **(Retention:** (a) 75 years for final contracts, amendments, and negotiation minutes, destroy (b) 6 years after contract expires for all other records, destroy).

(7) **Benefits Policies and Procedures Records** Records document policy and procedure decisions and important events in the operations history of the office and includes contracts and formal documents which state or form the basis for policy or set precedents. Records may include but are not limited to records concerning the Academic 12-month Pay Option for Payroll; American Football Coaches Retirement Trust; dependent care flexible spending account program records; early retirement programs; employee orientation program; Employee Assistance Program; injured worker benefits; Continuing Benefits to Injured Workers (CBIW) records; insurance continuation coverage known as COBRA (Consolidated Omnibus Budget Reconciliation Act); medical, dental, life/disability insurance program records; open enrollment records; the institution Staff Handbook; Life Insurance; post doctorate fellow insurance program; Public Employee Retirement System (PERS); Retirees; tax deferred investment programs; Teachers Insurance Annuity Association and College Retirement Equities Fund (TIAA/CREF); Unionflex program; (US Savings Bonds;) Volunteer Insurance; and related documentation and correspondence. **(Retention:** 6 years after expiration of program or contract, destroy).

(8) **Certificates of Eligible's Records** document the names of applicants currently eligible for hire for specific classified positions. The list is supplied by the personnel office to departments seeking to fill vacancies. Data elements on this list may include but are not limited to name; address; telephone number; and rank or exam results. Copies of Employment Applications and Skill Code Sheets may be included with this record series. **(Retention: (a) 3 years after end of search if part of recruitment, destroy (b) 1 year if not part of a search, destroy).**

(9) **Classified Employees Layoff Records** Records document layoff procedures followed for affected employees. Records may include but are not limited to employees names; position titles; classification numbers; hire dates; layoff dates; seniority status; and related documentation and correspondence. **(Retention: 3 years after employee separation, destroy).**

(10) **Classified Employees Non-Routine Evaluations Records** document the non-routine evaluation of the classified employee's work performance. Records may include commendations; recommendations; disciplinary actions; reprimands; explanations or opinions filed in response to critical material; and related correspondence. **(Retention: 3 years, destroy).**

(11) **Classified Employees Personnel Records** Records document the classified employee's work history at the institution and includes routine evaluative materials and non-evaluative information such as job title, full-time equivalency (FTE) or appointment percentage, dates of employment, salary, employing department, education and employment background. Some documents in this series contain confidential information such as social security number, birth date, and marital status. Records may include but are not limited to employment applications which may include skill code sheets; resumes; selected memos such as agreement or request for position change, merit increase requests and notices, request for re-employment (letter of hire), resignation letters from employees, and termination letters from employer; commendations; recommendations; reprimands; work plans; forms documenting personnel actions; (personnel) performance evaluations; pay/budget action forms; leave records; time and attendance records; (designation of beneficiary forms;) union dues information; resumes; layoff notices; awards; licenses and certificates; college credit information; employee Social Security number disclosure forms; home address/telephone disclosure authorizations and related correspondence. **(Retention: (a) 75 years for employment applications, agreements or requests for position change, merit increase requests and notices, request for re-employment, resignation letters, employer termination letters, personnel action forms, layoff notices, designation of beneficiary forms, personnel evaluations, and resumes, destroy (b) 3 years for letters of reprimand, destroy (c) 3 years after employee separation for all other records, destroy).**

(12) **Classified Employment Testing Records** Records document the testing process for classified positions administered by human resources staff. Records may include but are not limited to test forms completed by qualified applicants; summary lists with scores; testing materials; and related documentation and correspondence. **(Retention: 3 years, destroy).**

(13) **Classified Rejected Applications Records** document employment applications that were submitted for jobs with the institution and for reasons of incompleteness or inadequate qualifying experience/training are rejected. Records may include but are not limited to institutional employment applications and state forms PD 100 and PD 229R. **(Retention: 3 years after position filled or recruitment canceled, destroy).**

(14) **Classified Unsolicited Applications Records** document unsolicited requests for consideration for employment possibilities in institution units. Records may include but are not limited to curriculum vitae and resumes; transcripts; letters of application; and related materials and correspondence. (**Retention:** 3 months, destroy).

(15) **Continuation of Insurance Benefits (COBRA) Records** Records document the institution's compliance with the Consolidated Omnibus Reconciliation Act of 1986 (COBRA). Records may include notices given to insurance administrators when employees leave the institution; information includes employee and dependent names and Social Security numbers, insurance package currently carried, dates of termination, coverage end date, and dates of notice to the contractor. (**Retention:** 3 years, destroy).

(16) **Continuing Education Instructor's Records** Records document competency of persons applying to teach continuing education courses. Records, which are filed by course with term and instructor name, may include but are not limited to resumes; curriculum vitae; personnel actions; time sheets; course proposals; request for undergraduate and graduate course and instructor approval forms; tentative course outlines; letters of nomination; letters of appointment and/or rejection; and related documentation and correspondence. (**Retention:** (a) 75 years for appointment information, destroy (b) 5 years after separation from Continuing Education faculty for all other records, destroy).

(17) **Criminal Background Check Records** Records document the pre-employment or periodic criminal record check performed on prospective or current staff, faculty, and volunteers by the agency. Records may include but are not limited to a Fingerprint-Based Criminal History Verification form documenting the result of a criminal history background check coordinated by the Oregon Law Enforcement Data System (LEDS). The form includes name and other personal identifying information, indication of the existence or absence of criminal record, and related documentation. (**Retention:** (a) Retain background check log: until superseded or obsolete, destroy; (b) Retain all other criminal background check records: 90 days, destroy).

(18) **Drug Testing Records** Records document the testing of current and prospective employees for controlled substances prohibited by policy, procedure, or statute. Records may include but are not limited to the documentation of test results, the collection process, the random sample process, and those documenting the decision to administer reasonable suspicion drug testing. (**Retention:** (a) Retain negative drug test results, 1 year, destroy (b) Retain positive drug test results, 3 years, destroy).

(19) **Employee Medical Records** Records document an individual employee's work related medical history. These records are not personnel records and must be kept physically separate from employee personnel records -- in a separate location, as required by the Americans with Disabilities Act. Records may include but are not limited to medical examination records (pre-employment, pre-assignment, periodic, or episodic), X-rays, records of significant health or disability limitations related to job assignments, documentation of work related injuries or illnesses, hearing test records, hazard exposure records, first-aid incident records, physician statements, release consent forms, and related correspondence. These records are not personnel records and must be kept physically separate from employee personnel records -- in a separate location, as required by the Americans with Disabilities Act. SEE ALSO Medical Surveillance Records in the Safety and Security section. (**Retention:** (a) Retain hazard exposure records: 30 years after employee separation (29 CFR 1910.1020), destroy (b) Retain

audiometric (hearing) test records: Until employee's termination date (29 CFR 1910.95(m)) (c) Retain other employee medical records: 3 years after employee separation, destroy).

(20) **Employees Benefits Records** Records document an individual employee's benefit information such as selection of insurance plans, retirement, pension, and disability plans, deferred compensation plans, and other benefit program information. Records may include but are not limited to plan selection and application forms, enrollment records, contribution and deduction summaries, personal data records, authorizations, beneficiary information, and related documentation. Records may be filed with the individual Employee Personnel Records. SEE ALSO Employee Payroll Records in the Payroll section.

**(Retention:** (a) Retain PERS enrollment records: 75 years, destroy (b) Retain optional plan enrollment records 75 years, destroy (c) Retain all other benefits records: 3 years after employee separation or eligibility expired, destroy).

(21) **Employees Training Records** Records document employee participation in training courses or programs for development purposes. Records may include but are not limited to staff fee requests to take classes; course agendas, descriptions, and syllabi; course outlines and materials; enrollment and attendance records; training requests and authorizations; certificates of completion; and related documentation and correspondence. **(Retention:** 3 years, destroy).

(22) **Employees Employment Verification Records** Records document the responses to inquiries for evidence of employment from offices within the institution, banks and credit agencies, government agents, businesses, and current and former personnel. Records may include but are not limited to copies of written requests; release of information authorization forms; telephone request forms; office control documents; statistical summaries; and related documentation and correspondence. **(Retention:** 3 years, destroy).

(23) **Employment Eligibility Verification Forms Records** document information used to establish the identity and to verify the employment eligibility of employees to preclude the unlawful hiring of persons not authorized to work in the United States. Records include completed I-9 forms and copies of documents that establish the identity and the employment eligibility of the employee. **(Retention:** 3 years after date of hire or 1 year after separation, whichever is longer, destroy).

(24) **Employment Policies and Procedures Records** Records document employment policies and procedures administered by institution personnel offices. Records may include but are not limited to information on academic year appointments; employment of disabled persons; family employment program; interviewing; job sharing; overseas employment; student employment; temporary appointments; transfers; and related documentation and correspondence. **(Retention:** Permanent).

(25) **Executive Evaluations Administration Records** Records documents the administration of routine performance evaluations of OUS chancellors and individual college and university presidents. Records may include appointment schedules; letters of follow-up and thank you; press releases and announcements; hotel and travel arrangements; and related correspondence. **(Retention:** 3 years, destroy).

(26) **Family and Medical Leave Case Files Records** document requests for leave and granted leaves by employees under provisions of the Federal Family and Medical Leave Act and the Oregon Family Medical Leave Act. Records may include but are not limited to employee leave request forms; notices to



employees of leaves granted or rejected; Certification of Health Care Providers for the employee or a family member; employee backup information and leave history records; employee time records; Continuation of Health and Dental Insurance Benefits Memorandum; and related documentation and correspondence. (**Retention:** 3 years after case closed, destroy).

(27) **Graduate Assistantship Applications Records** Records document applications of graduate students for Graduate Teaching Assistantships and Graduate Research Assistantships in academic programs. Records include applications developed by individual units; resumes and vitae; and related documentation and correspondence. (**Retention:** (a) 5 years after application or termination of employment, whichever is longer for successful applicants, destroy (b) 3 years for denied applicants, destroy).

(28) **H-1 Visa Scholars Records** Records document the temporary employment of internationals by the institution and is used to monitor compliance with Immigration and Naturalization Service regulations. Records may include but are not limited to Petition for a Non-immigrant Worker (Form I-797); Labor Conditions Applications for H-1B Non-immigrant; Prevailing Wage Information Request; Application to Immigrant and Naturalization Service (INS); documentation of requests for visa extensions; details of work assignments; and related documentation and correspondence including the letter of support. (**Retention:** 6 years after expiration of visa and extensions granted, destroy).

(29) **Health Emergency Information Records** Records document the health identification information of students, faculty or staff. Health information may be collected for sponsored field trips, participation in physical education classes, and other activities. Information may include but is not limited to personal identification and physician's name and contact information, and emergency contact and health insurance information. Note: These records are not the same as the Emergency Notification Forms found in the Personnel File. (**Retention:** 1 year after the end of the event or activity for which this information was collected, destroy).

(30) **Immigrant Visa Scholars Records** Records document the application and approval of international scholars for permanent immigrant status. Records may include but are not limited to Applications for Alien Employment Certifications issued by the Department of Labor, Employment and Training Administration; advertisements for positions; curriculum vitae; transcripts; letters of recommendation; notes on all applicants for positions demonstrating that a petitioner was the best qualified for an advertised position; forms indicating the institution's efforts to employ comparably qualified U.S. citizens (ETA750); interviewers' notes and memoranda; and related correspondence. (**Retention:** 75 years, destroy).

(31) **J-1 Visa Scholars Records** Records document the short-term appointment of non-immigrant international scholars as visiting faculty, specialists, researchers and trainees. Records may include but are not limited to United States Information Service Certificates of Eligibility for Exchange Visitors Forms (IAP-66); descriptions of work to be performed; methods of financial support; copies of passports; check-in forms with personal data such as addresses, telephone numbers, and information concerning dependents; related correspondence, most often concerning eligibility of spouses and children to accompany or join the scholar; log sheets noting the nature of telephone calls concerning each scholar's status; and related documentation. (**Retention:** 3 years after visa expiration, destroy).

(32) **Layoff Administration Records** Records document policies and procedures administered by institution personnel offices with regard to layoffs. Records may include but are not limited to position elimination information; employee assistance information; layoff lists; management service layoff policy; news publications; salary funding requests; vacancy lists; and related documentation and correspondence. **(Retention: 75 years, destroy).**

(33) **Merit Increase and Trial Service Performance Appraisal Lists Records** document classified employees who are expected to receive merit pay increases or successfully complete their six-month trial service period. The lists, organized by academic department or administrative office, include employee's name; class; social security number; position number; employee status and type; FTE; pay rate qualifier; current step and pay rate; new pay rate and step (merit increase only); and trial service completion date (trial service only). **(Retention: 6 months, destroy).**

(34) **National Faculty Exchange Program Records** Records document an exchange program which allows university faculty members to exchange teaching positions with other institutions' faculty members within the United States. Records include contracts; summaries; and related correspondence. **(Retention: (a) Permanent for summaries (b) 5 years for all other records, destroy).**

(35) **Personnel Research Data Records** Records document the comparative salaries, benefits, collective bargaining agreements, staffing requirements, minimum qualifications, recruitment, and training of an institution's employees. Records include but are not limited to published and unpublished data; statistical reports; and related documentation and correspondence. **(Retention: Until superseded or obsolete, destroy).**

(36) **Position Descriptions Records** document job descriptions for classified and faculty positions and is used for employee recruiting, Fair Labor Standards Act eligibility analysis, position review, and reclassification purposes. Information fields in the position descriptions may include position names, position numbers, qualifications, functions and responsibilities, duties, hierarchical data, job classification numbers, description of duties, and pay rates. Records may include but are not limited to Position Description forms; Reclassification Position Descriptions and documentation; Classification Listings; Positions Listings; and related documentation and correspondence. **(Retention: (a) 5 years after superseded, destroy (b) 5 years for position reclassification records, destroy).**

(37) **Promotion, Tenure, and Salary Increase Records** Records document the periodic consideration of faculty who are eligible for changes in rank, tenure status, and/or pay. Records may include but are not limited to promotion and tenure dossiers compiled and presented by the faculty member as per instructions from Academic Affairs as well as other materials which are compiled and maintained for inclusion, analysis, and summarization into the dossier folders. The dossiers may include but are not limited to candidate dossier cover form or checklist; prior service agreement; Confidential Waiver for letters of evaluation; current position description; letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants/clients, and peers; candidate acknowledgment of dossier review; student evaluations of faculty summary reports; committee signature sheets; committee findings; recommendations of administrative superiors; and related documentation and correspondence. These files should always be maintained physically separate from departmental and college personnel files, but are considered to be a part of the academic personnel record. **(Retention: 10 years, destroy).**

(38) **Recruiting Pool Records** Records document prospective applicants for faculty and staff positions drawn from either previous recruitments or unsolicited applications. Records may include but are not limited to curriculum vitae or resumes; cover letters; Applications for Employment; interview materials; position announcements; evaluations of prospective employees; and related correspondence. **(Retention: 3 years, destroy).**

(39) **Residential Advisor (RA) Employees Records** Records document the selection process, requirements, and work history of residential advisors. RAs apply in the Winter Term for the following school year. After preliminary screening and approval applicants are required to enroll in a course designed for potential RAs taught by student housing staff. Records may include but are not limited to application forms; transcripts; recommendations; interviewers' notes; notification letters; contracts which give duties and responsibilities, enrollment hours limitations, and signatures; papers or projects completed in the required RA course; staff evaluations of applicants and term-by-term evaluations of appointees; and related documentation and correspondence. **(Retention: 5 years after employee separation, destroy).**

(40) **Retirement Incentive Program Records** Records document the cost of incentive programs providing benefits for university employees who choose early retirement. Records include agreements between the university and employees for lump sum, monthly, or annual payments; records of actual payments; and related correspondence. **(Retention: 6 years after final payment, destroy).**

(41) **Sabbatical Leave Records** Records document sabbatical leave activities of institution faculty. Records may include but are not limited to reports; applications; contracts; and related documentation and correspondence. **(Retention: (a) Permanent for reports (b) all other records 75 years, destroy).**

(42) **Search Records** Records document the selection process for academic, classified and student positions within the institution. Records may include but are not limited to applications; curriculum vitae or resumes; academic transcripts; samples of writing or publications; approvals of recruitment proposals; candidate lists; position announcements; position advertisements; position descriptions; Certificate of Eligible's; copies of Affirmative Action Compliance Data Forms; Requests to Fill Academic Position Forms; interview materials such as schedules, rating sheets, tallies, screening and interview notes, review committee notes and memoranda; telephone conversation notes; and related correspondence such as cover letters and reference letters.

**NOTE:** Application materials of successful academic and classified candidates become part of the employee's personnel file.

**(Retention: (a) 3 years after search completed for academic and classified search records, destroy (b) 1 year for student search records, destroy).**

(43) **Staffing Policies Records** Records document the adoption and implementation of personnel and staffing policies at the college and/or unit level pertaining to topics such as faculty evaluations; faculty Retention; merit increases; performance evaluations; promotion and tenure, both instructions and guidelines; sabbatical leave, both policies and reports; salary adjustments, both guidelines and statistics; and support staff information. Records may include but are not limited to notations on priority staffing decisions; position descriptions; requests for approval of new staff positions; justification statements; descriptions of teaching responsibilities for positions requested; funding information; job

announcements; memoranda; and related documentation and correspondence. (**Retention:** 2 years after superseded or obsolete, destroy).

(44) **Social Security Number Records** Records document international students' and scholars' acquisition of social security numbers. This series may include but is not limited to social security number applications; Statement of Information — Social Security Account Number forms (CO-204); photocopies of social security cards; Controllers Division reports; and related documentation and correspondence. (**Retention:** 3 years, destroy).

(45) **Student and Classified Employees Compensation Records** Records document and defines pay rates for classified and student employees. Records may include but are not limited to compensation plans; conversion tables for annual, monthly, hourly, and overtime rates; records concerning extra merit increase, merit pay system, overtime pay, shift differential, student pay, variable rate pay, and working out of class; and related documentation and correspondence. (**Retention:** Until superseded or obsolete, destroy).

(46) **Student Employees Personnel Records** Records document the student employee's work history from the supervisor's perspective. This series may contain records for work-study and/or regular departmental budgeted student employees. This series may include resumes; interview questionnaires and notes; work referral forms; Student Schedule Slips; Financial Aid Employment Reference Forms; Student Employment Registration Forms; Personnel Actions Forms; Pay/Budget Action Forms; Work-Study Time Certificates; Performance Evaluations; Employee Withholding Allowance Certificate (W-4) forms; Payroll Check Delivery Authorizations; Requests for Emergency Payroll Draw Forms; commendations; recommendations; reprimands or notices of disciplinary action; notices of layoff; letters of resignation; work permits; copies of visas and related immigration status information; Student Driver Authorization Forms; Employment Eligibility Forms (I-9); home address/telephone disclosure authorizations; and related correspondence and documents. The series may also include photocopies of each employee's drivers license; birth certificate; or Certificate of Student Employment Registration. (**Retention:** (a) 5 years after employee separation for work-study student records, destroy (b) 3 years after date of hire or one year after separation, whatever is longer for Employment Eligibility Forms (I-9), destroy (c) 3 years after employee separation for other student employee records, destroy).

(47) **Student Faculty/Course Evaluation Records** Records document students' evaluations of teaching personnel and is used to help determine faculty tenure, promotion, merit increases and/or to review instructional courses and programs. These records provide students' opinions on faculty members' familiarity with current literature of the discipline, preparation, assignments, examinations, lecture styles, willingness to engage in dialogue, and availability. Records include bubble forms (input documents); course reaction inventory printouts; statistical tabulations; summary reports; and related documentation and correspondence. (**Retention:** (a) Until tabulated and verified for bubble forms, destroy (b) 5 years for all other records, destroy).

(48) **Tuition Reduction Records** Records document employee and/or dependents participation in courses or programs offered by OUS institutions at reduced tuition rates. Records may include but are not limited to staff fee requests to take classes, course agendas, descriptions and syllabi, course outlines and materials, enrollment and attendance records, training requests and authorizations, certificates of completion, related documentation and correspondence. (**Retention:** 4 years, destroy).

(49) **Volunteer Program Records** Records document the activities and administration of volunteer programs in the agency and institutions. Records may include but are not limited to volunteer applications, emergency notification forms, volunteer hour statistics, volunteer program publicity records, insurance requirement information, and related documentation. SEE ALSO Criminal Background Check Records in this section. (**Retention:** (a) Retain individual volunteer records 5 years after volunteer separation, destroy (b) Retain all other volunteer program records 5 years, destroy).

(50) **Unemployment Compensation Claim Records** Records document claims submitted by former institution employees for unemployment compensation. Records may include but are not limited to claim records; notices; reports; records generated by the appeal of claim determinations; and related documentation and correspondence. (**Retention:** 2 years, destroy).

(51) **Work Time Adjustment Agreements Records** document agreements between the employer and the employee regarding a change in the employee's work hours. Records may include but are not limited to the official signed agreement; related documentation and correspondence. (**Retention:** Until superseded or obsolete, destroy).

166-475-0100

### **Publications, Promotions and Alumni Records**

(1) **Alumni Records** Records document the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. Records may be used to create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. This series may include but is not limited to memberships lists with names, addresses, employer names and addresses, and positions; minutes, by-laws and directories of clubs in many Oregon communities and several major cities throughout the United States; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs. **(Retention: Permanent)**

(2) **Alumni Association Board Records** Records document the activities of the alumni association board of directors. The board is responsible for promoting the interests and ideals of the institution; stimulating and encouraging school pride in students, graduates, and former students; and developing a sense of responsibility for continued progress in educational programs for the institution. This series may include but is not limited to agendas; minutes; reports; notes; working papers; and related documentation and correspondence. **(Retention: (a) Permanent for agendas, minutes, reports, and policy/historical correspondence (b) 5 years for all other records, destroy)**

(3) **Alumni Association Services Program Records** Records document the implementation of programs administered by the office such as those relating to marketing products, credit cards; insurance, and football tickets. This series may include but is not limited to agreements; dues information; postal information; and related documentation and correspondence. **(Retention: 5 years, destroy)**

(4) **Alumni Mailing List Records** This series provides a record of the whereabouts of alumni for information request and mailing purposes. This series includes mailing lists and related documentation and correspondence. **(Retention: Until superseded or obsolete, destroy)**

(5) **Biographical Records** Records document biographical data for institutional faculty and staff. The records are used for public information releases and reference by the institutional staff to provide responses to inquiries. This series may include but is not limited to biographical sketches developed by the office of employment, the individuals concerned, or other sources; vitae; photographs; personal history data sheets; newspaper clippings; retirement notices; funeral programs; and obituaries.

**(Retention: Permanent)**

(6) **Class Gift Records** Records document gifts given to the institution by senior classes. This series may include but is not limited to gift lists; gift histories; a record of gift placement arrangements; and related documentation and correspondence. **(Retention: Permanent)**

(7) **Films, Videotapes, and Sound Recordings Records** document institutional activities and events including intercollegiate athletics, students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission. These productions may have been created for

recruitment and orientation, fund-raising, publicity, research, or teaching. This series may include but is not limited to identified and labeled audio/video records.

**NOTE:** Contingencies must be made for transferring information to a more stable medium. (Retention: Permanent)

(8) **Fund-Raising Records** Records document institutional efforts to raise funds to support program functions and facilities. This series may include but is not limited to requests for fund-raising; individual benefactors and prospective donors files; public relations records; event planning and arrangement records; gift history reports; background on previous donations; pledges; and related documentation and correspondence. (**Retention:** 6 years, destroy)

(9) **Hometown Information Records** Records document newspapers published in Oregon and is used to promote the institution. It is arranged alphabetically by town name and county and refers to the appropriate newspaper and its location. This series includes Oregon town and county names that refer to the serving newspaper; brief descriptions of scholarship awards offered on this campus; and all state high schools by town, county, and phone number. (**Retention:** Until superseded or obsolete, destroy)

(10) **News Release Records** Records document newsworthy events of the institution. This series may include but is not limited to news releases issued by institution news and communications units arranged by topic and/or date of issue. The news releases may contain but are not limited to the source of the information; title; byline; activity location and dates; and specified time of release. (**Retention:** (a) Permanent for releases pertaining to significant events and policy matters (b) 10 years for routine releases, destroy)

(11) **Ordering Records** Records document continuing requests for publications produced by an office. This series may include but is not limited to standing order cards or lists indicating the name and address of the requestor; book titles; transaction date; invoice number; and related documentation and correspondence. (**Retention:** Until request becomes inactive, destroy)

(12) **Photographs Records** document institution activities, events, students, faculty, and staff with significant relevance to either the institution's or individual unit's function and mission. It may be used for student recruitment and orientation, fund-raising, publicity, publications, research, or teaching. This series includes photographs in print, negative, and slide formats. (**Retention:** a) Permanent for institutionally accepted pictures documenting historic events and people b) until obsolete for all others, destroy)

(13) **Publications Inventory Records** Records document publications in stock in an office. This series may include but is not limited to cards and lists. The information may include but is not limited to publication title; date of publication; and retail cost. (**Retention:** 4 years after superseded or obsolete, destroy)

(14) **Publications Records** Records document publications produced by individual institution offices. It may be used to document the activities of the office, for educational purposes and/or for informational purposes. Types of publications may include but are not limited to catalogs; books; magazines; newsletters; handbooks; yearbooks; directories; brochures; pamphlets; media guides; guidebooks; proceedings; programs; and flyers. Series may include but is not limited to working papers; mock-ups; drafts; and final publications. (**Retention:** (a) Permanent for final publications (b) 1 year for all other records, destroy)

(15) **Sample Publications and Job Specification Records** Records document specifications used in setting up publications for printing by the institution's publications office. This series may include but is not limited to job cards indicating description, specifications, and dollar cost of production; art work including drawings, maps, and blueprints; samples of changes made to publications; completed publications; and related documentation and correspondence. (**Retention:** 5 years, destroy)

(16) **Scholarship Reports Records** document recipients of scholarships in colleges or departments. These records may include information regarding the names of recipients; when they received the scholarships; names of scholarships; dollar value of scholarships; years recipients entered and graduated; and related correspondence and documentation. (**Retention:** Permanent)

(17) **Unit/Institution/Organization History Records** Records document the historical development of the institution; units within the institution; and organizations associated with the institution, such as honor societies, fraternities and sororities, and student/faculty/ staff clubs. This series may include but is not limited to newspaper clippings; photographs; published and unpublished historical sketches; publications; statistics; ephemera; and related documentation and correspondence. (**Retention:** Permanent).



166-475-0105

### Safety and Security Records

(1) **Accident and Injuries Records** Records document claims made by institution employees to the SAIF (State Accident Insurance Fund) Corporation for occupational injuries, accidents, or illnesses; insurance coverage and related reimbursement issues; and safety analysis and compliance inspections. This record series does not include accidents or incidents which involve hazardous substance or radiation exposure. This series may include but is not limited to report of accident forms; SAIF Worker's and Employer's Report of Occupational Injury or Disease form (463.801); Occupational Safety and Health Administration (OSHA) Form 300; OSHA Form 101; incident logs; employer payroll reports; hearing transcripts; notices of claim disposition; determination orders; opinions and orders; appeal letters; claim adjustment documentation; medical reports; cost statements; and related documentation and correspondence. **(Retention: 6 years after final disposition of claim, destroy)**

(2) **Annual Vehicle Inspection Records** Records document the safety of institutionally owned automobiles, vans, trucks, and other motorized vehicles. This series includes but is not limited to annual motor vehicle inspection reports and related forms; documentation; and correspondence. **(Retention: 2 years after the vehicle is disposed of, destroy)**

(3) **Asbestos Records** Records document a building by building survey and plan to correct asbestos material hazards. This series may include but is not limited to surveys; monitoring tests and reports; data forms; building plans; correction checklists; removal job records; and related documentation and correspondence. **(Retention: (a) 30 years after separation for records documenting persons contacting or removing asbestos, destroy (b) 40 years: all other records, destroy)**

(4) **Carcinogenic Compound Inventory Records** Records document inventory and stock of high and extremely high carcinogenic compounds. This series contains but is not limited to project and departmental lists of chemical inventories; lists of persons involved in the research project; and related forms, documentation, and correspondence. **(Retention: (a) 30 years after separation for records documenting persons using or contacting compounds, destroy (b) 40 years for all other records, destroy)**

(5) **Carcinogenic Compounds Use Records** Records document the use of hazardous carcinogenic compounds by institutional researchers. This series may contain but is not limited to research protocols; registration for use of high and extreme hazard carcinogens; chemical carcinogen animal care requirement forms; lists of personnel involved in laboratory contact with chemical carcinogens; list of carcinogenic compounds to be used in the specific research project; and related documentation and correspondence. **(Retention: 30 years after employee or researcher separation, destroy)**

(6) **Chemical Hazardous Material Survey Forms Records** document student and employee exposure to hazardous chemicals as per federal regulation. This series includes but is not limited to Chemical Hazardous Material Survey Forms which contain dates, employee or student names, chemical name, and comments; and related documentation and information. **(Retention: 30 years after student or employee separation, destroy)**

(7) **Chemical Incident Records** Records document the investigation of hazardous chemical material accidents or incidents including releases. This series may include but is not limited to incident reports noting locations, names, dates, times, description of incident, personnel involved, remarks, and name of

contact; and related documentation and correspondence. (**Retention:** 30 years after employee separation, destroy)

(8) **Chemical and Hazardous Waste Disposal Records** Records document the receipt, shipment, and disposal of chemical material or hazardous wastes on campus. This series includes but is not limited to chemical and waste inspection forms; drum packing sheets; Uniform Hazardous Waste Manifest forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification forms; waste disposal records; and related documentation and correspondence. (**Retention:** 30 years, destroy)

(9) **Emergency Response Plans and Procedures Records** documents procedures to be followed in the event of emergency. Records may include step-by-step procedures; unit and institutional disaster preparedness plans; and related correspondence. (**Retention:** Until superseded or obsolete, destroy)

(10) **Environmental Regulations Records** Records document institutional compliance with environmental laws and guidelines of federal, state, or local governments. These records include communications with the Regional Air Pollution Authority (RAPA) which is under the jurisdiction of the Environmental Protection Agency (EPA) of the federal government and also the state Department of Environmental Quality (DEQ). This series may include but is not limited to Title V Air Discharge Permits; Air Quality Reports; Waste Water Discharge Permit Applications; Waste Water Discharge Permits; Water Quality Reports; Waste Water Discharge Records; Notices of Violation; Notices of Non-compliance; and related documentation and correspondence. (**Retention:** 10 years, destroy)

(11) **Fire Alarm and Drill Records** Records document response to any alarm that is activated on campus. This series may include but is not limited to the following information, when and where the incident occurred; specific response; reset time; and rewind time, if appropriate. (**Retention:** 3 years, destroy)

(12) **Human Materials Authorizations Records** Records document faculty proposals to use human materials in classroom instruction. This series includes but is not limited to written proposals from classroom instructors; departmental and committee approvals or disapprovals; reports; and related documentation and correspondence. (**Retention:** 10 years, destroy)

(13) **Inspections Records** Records document inspections done by various agencies such as the city building department, health department, or fire department in the course of routine business and is used by the institution to correct and analyze safety problems and to document compliance with regulations. This series may include but is not limited to inspection sheets which show date of inspection, notation of violations, and suggested corrective measures; reports acknowledging compliance with regulations; authorizing signatures; and related information, documentation and correspondence. (**Retention:** 10 years, destroy)

(14) **Material Safety Data Sheets Records** Records document the institution's inventory of hazardous chemicals; record keeping is mandated by the Hazardous Communications Program of the Occupational Safety and Health Administration (OSHA). This series contains but is not limited to Material Safety Data Sheets which list chemical name, description, composition, intended use, flash point, transportation, hazards, safe handling, and extinguishing methods; and related documentation. (**Retention:** 30 years, destroy)

(15) **Medical Surveillance Records** Records document the medical history of employees working in positions with exposure to high risk hazardous conditions such as Class B and C carcinogenic

compounds, asbestos, lead, or excessive noise. Medical examinations of workers are made at the beginning and termination of institution employment and periodically throughout the career course as well as immediately following an accident or potential exposure incident. This series may include but is not limited to medical examinations; laboratory test records and results; and related documentation and correspondence. (**Retention:** 30 years after employee separation, destroy)

(16) **Non-Staff Accident and Injuries Records** Records document the reporting and investigation of campus related accidents that result in injury to non-staff and/or their property. This record series does not include accidents or incidents which involve hazardous substance or radiation exposure. This series may include but is not limited to Report of Accident forms; complaints; investigation reports; insurance appraisals and estimates; photographs; and related documentation and correspondence. (**Retention:** (a) If incident results in a claim: transfer to appropriate claim file (b) If no claim results: retain 10 years, destroy, destroy)

(17) **Protective Wear and Device Request Records** Records document the authorization and acquisition of specialized safety devices and clothing for employees working in hazardous situations. This series may include but is not limited to Safety Shoe Request and Authorization Forms; Prescription Safety Glasses Request and Authorization Forms; and related forms, documentation, and correspondence. (**Retention:** 4 years, destroy)

(18) **Radiation Licensing Records** Records document the licensing of the institution by federal, state, and local agencies to receive, use, store, dispose of, and ship radioactive materials. These records include federal and state applications and certificates including State of Oregon Health Division Radiation Material License forms (P112118-333 (100g)) and amendments (p29939-333 (150)); validation certificates showing fees paid for licenses; and related correspondence. (**Retention:** Permanent)

(19) **Radioactive Material Handling and Disposal Records** Records document the reception, handling, shipment and/disposal of radioactive material or radioactive hazardous wastes at the institution to comply with federal and state record keeping and reporting requirements. The series also provides the office with a record of past activity. Records may include waste material pick up requests and tags; Radioactive Waste Drum Inventory forms ; Uniform Hazardous Waste Manifest forms (EPA 8700-22); Radiation Waste Shipment and Disposal Manifest forms (vendor form); Radiation Material Inventory sheets; Radiation Material Shipment Receipt Record forms; Waste Disposal Record cards; disposal site letters of arrival acknowledgment; Sewered Radioactive Material log sheets; Solid Waste Discharge and Analysis Sheets; Liquid Summary Reports; gaseous waste Summary Reports; and related correspondence. (**Retention:** Permanent)

(20) **Radiation Monitoring and Exposure Records** Records document radiation testing and monitoring of employees, students, visitors, facilities, and the surrounding environment and is used to comply with federal and state reporting and licensing requirements and insurance carrier reporting requirements. This series includes dosimeter reports (vendor form); Exposure History forms; Statement of Occupational Radiation Dosage forms; Neutron Generator Smear Test Survey Forms; Fllor Survey Forms; Special Survey Forms (RCHPP .24D); Hood Flow Survey forms; Rotation Rack Filter Survey Forms; Soil/Water/Vegetation Records Survey Forms; and Bio-Essay Reports. (**Retention:** 30 years after employee separation, destroy)

(21) **Radiation Safety Committee Records** Records document the establishment of policy and procedure by the committee. Records include agendas; minutes; reports; notes; working papers and related correspondence. (**Retention:** Permanent)

(22) **Safety Training Records** Records document employee training and certification such as for equipment operation, hazardous material handling and emergency procedures, driver training, CPR and first aid training, and asbestos awareness training for removal, abatement, or transportation. This series may include but is not limited to sign off sheets indicating that employees have received training; acknowledgment of safety rules: instruction sheets; copies of hazardous material data sheets; informational materials; and related documentation and correspondence. (**Retention:** 30 years after employee separation, destroy)

(23) **Security Records** Records document reporting of suspicious and criminal incidents at the institution. Records may include incident reports containing names, dates, case numbers, dollar values, locations, descriptions of incident, and personnel taking report; identification cards created when reports of suspicious behavior are made to the office; warnings records; copies of reports filed by the Oregon State Police or other law enforcement agencies; notes; and related documentation. (**Retention:** (a) 2 years for copies of reports filed by law enforcement agencies, destroy (b) 7 years for annual Clery act report records, destroy (c) 5 years for all other records, destroy)

(24) **Student Incident Records** Records document incidents of injury to residence hall occupants, vandalism, and other infractions of housing rules. The series also documents the disposition of such incidents. This series may include but is not limited to incident report forms usually filed by resident advisors; housing director's written decisions; student appeals of decisions; and related documentation and correspondence. (**Retention:** (a) If incident results in a claim: transfer to appropriate claim file (b) If no claim results: retain 10 years, destroy)

(25) **Vehicle Accident Records** Records document accidents involving vehicles owned by the institution. This series may include but is not limited to vehicle accident reports; vehicle accident claims; damage or loss of state property reports and related documentation and correspondence. Information may include vehicle type and identification number; name of party using the vehicle; notation of condition before and after use; and authorizing signatures. (**Retention:** 4 years, destroy).

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## Student Records

(1) **Academic Standing Reports Records** document student academic standing, including academic deficiency and the status changes of academically deficient students. Records may include reports containing student names, grade point averages (GPAs), grade point deficiencies, and numbers of previous suspensions and probations; student petitions for re-evaluation; report of student progress toward academic readmission/removal of probation status at other institutions; academic honors and awards; and related documentation and correspondence. (**Retention:** 3 years, destroy)

(2) **Admissions Reports Records** document summary information relating to student admission programs which may be used for control, planning or review. Records may include but are not limited to working papers; drafts; transitory reports; final reports; and related documentation and reports. Typical report subject categories include the number of new students, advanced placement, and Grade Point Averages summaries. (**Retention:** (a) Permanent for final reports (b) 5 years for all other records, destroy)

(3) **Certification Records** Records document the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession and forms the basis of the initial certification for various professions. Records may include applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence. (**Retention:** 5 years after initial certification, destroy)

(4) **Class Lists Records** document official record of students enrolled in courses taught. The series is used to cross-check students who have enrolled against those who have registered as well as in the generation of statistical reports. Information in the series includes student names; Student ID Number; term; and enrollment/registration status. (**Retention:** 1 term, destroy)

(5) **Commencement Records** Records document commencement program planning and implementation at the institution. Records may include but are not limited to commencement attendance forms; planning records created by commencement committees or other planning groups; and related documentation and correspondence. (**Retention:** (a) Permanent for commencement programs (b) Until degrees conferred for commencement attendance forms, destroy (c) 2 years for all other records, destroy)

(6) **Diploma Mailing Verification Records** Records document students' requests to have diplomas and other graduation records distributed to specific addresses. Records include signed cards listing permanent addresses for diplomas to be mailed to; indicating that fees have been paid; and listing students' names, college or school within the institution, degrees granted, and dates of requests. (**Retention:** 1 year, destroy)

(7) **Enrollment Reports Records** document enrollments which may be used for planning and research. Information contained in the reports includes student names and levels, grade point averages, demographic data, and academic majors. Records may include but are not limited to working papers; final reports; and related documentation and correspondence. (**Retention:** (a) Permanent for final reports (b) 2 years for all other records, destroy)

(8) **Examinations, Tests, Term Papers, and Homework Records** Records document work of student subject mastery in institution courses not returned to the student. Records may include but are not limited to examinations and answers; quizzes and answers; homework assignments; course papers; term papers; and essay assignments. This series does not include graduate student qualifying or comprehensive examinations. (**Retention:** (a) 1 term after completion for uncontested grade results, destroy (b) Until resolved for contested grade results, destroy)

(9) **Family Educational Rights and Privacy Act (FERPA) Documents Records** document the process of student information release requests and consent authorizations or denials in accordance with the Family Educational Rights and Privacy Act. Records may include but are not limited to requests for formal hearings; requests for release of personally identifiable information; records of disclosures made to third parties; student statements regarding hearing panel decisions; written decisions of the hearing panel; written consent of the student to disclose records; waivers for rights of access; and related documentation and correspondence. (**Retention:** (a) Life of the affected record or until student terminates waiver for written consent of the student to disclose records and waivers for rights of access, destroy (b) Life of the affected record for all other records, destroy)

(10) **Fraternity and Sorority Membership Records** Records document personal information on each organization member. Data elements on cards or lists may include high school attended; major; hometown; date pledged; graduation date; offices held; and awards received. (**Retention:** 5 years after last enrollment, destroy)

(11) **Grade Reports Records** document grades received by students for the term. This is the record copy of reports distributed to students at the end of each term. Individual forms include course numbers and titles; grades awarded; grade point average; student name; and social security number. (**Retention:** 1 term, destroy)

(12) **Grade Rosters Records** document grades awarded by instructors and serves as the basis for students' official academic records. Records include student names and student ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures. (**Retention:** (a) 10 years for records created after implementation of the Student Information System, destroy (b) 25 years for records created before implementation of the Student Information System, destroy)

(13) **Graduate Students Degree Completed Records** Records document students' admission into graduate programs at the institution and their subsequent academic progress resulting in completion of degrees. (The official institutional academic record for all graduate students is maintained by the Registrar's Office). Records may include but are not limited to applications for admission to Graduate School; notices of admission; standardized placement and evaluation exams; transcripts; requests to audit courses; major department/degree change requests; assignment of an advisor; composition of dissertation/thesis committee and any changes thereof; proposed program sheets; transmittal sheets for records; statements of goals and objectives; certification of transferred courses; grade reports; course waiver requests; removal of incomplete grades forms; seven year time-limit appeal records; oral and written exam results — preliminary, qualifying and comprehensive; report of final oral examination and thesis credit for advanced degree; thesis title card approvals; petition for change in graduate program; petitions or letters requesting exemption from institution regulations or procedures; advising checklists; transcripts from other institutions; on-leave requests and approvals, official graduation audit; program advisors' reports showing progress towards academic degrees; advancement to candidacy

forms; awards; and related documentation and correspondence. (**Retention:** 20 years after degree completed, destroy)

(14) **Graduate Students Degree Uncompleted Records** Records document students' admission into graduate programs at the institution and their subsequent academic progress toward but not resulting in the completion of degrees. (The official institution academic record for all graduate students is maintained by the Registrar's Office.) Records may include but are not limited to applications for admission to graduate school; recommendations/ evaluations for admission; notices of admission; standardized placement and evaluation exams; transcripts; graduate school departmental action forms; requests to audit courses; major department/degree change requests; assignment of an advisor; composition of dissertation/thesis committee and any changes thereof; proposed program sheets; transmittal sheets for records; statements of goals and objectives; abstract of thesis or dissertation; certifications of transferred courses; grade reports; course waiver requests; removal of incomplete grades forms; seven year time-limit appeal records; oral and written exam results — preliminary, qualifying and comprehensive; reports of final oral examination and thesis credit for advanced degree; thesis title card approvals; petitions for change in graduate program; petitions or letters requesting exemption from institution regulations or procedures; on-leave requests and approvals; advising checklists; transcripts from other institutions; program advisors' reports showing progress towards academic degree; advancement to candidacy forms; comprehensive exam results; awards; and related documentation and correspondence. (**Retention:** (a) 25 years after last enrollment for doctoral students, destroy (b) 10 years after last enrollment for masters students, destroy)

(15) **Graduate Students Denied Admission/No Show Records** Records document the application and evaluation process for students applying to enter an instructional unit's academic graduate program who are denied admission or who were admitted but failed to enroll or withdraw. Records may include but are limited to applications for admission to graduate school forms, records of GRE and other test scores, departmental action forms; standardized examination reports, foreign student financial documentation, departmental or college supplemental application forms, departmental or college student application status reports, letters of recommendation, resumes, transcripts, and related documentation and correspondence. (**Retention:** (a) 3 years after denial of admission notification, destroy (b) 1 year after notification of admission if applicant fails to enroll, destroy (c) 1 year for test scores of students that do not apply, destroy)

(16) **Grievance Records** Records document grievances brought forward by students against the institution which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. Records include notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; appeals documentation; and related records. (**Retention:** (a) 3 years after last enrollment for appealed grievances, destroy (b) 3 years after resolution for grievances not appealed, destroy)

(17) **Independent Study Records** Records document departmental approval for students to enroll in independent study courses. Records may include but are not limited to permission sheets with students' names; course names; number of credits; and faculty signatures. (**Retention:** 1 year, destroy)

(18) **Instructors' Grade Records** Records document test scores, class work scores, and final grades for students which may be used as back-up to the official academic records held by the Registrar. Records

may include but are not limited to instructors' grade books; grade confirmation reports; grade confirmation and change records; and final grade rosters. (**Retention:** 2 years, destroy)

(19) **International Students Records** Records document institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other non-academic matters. Records may include but are not limited to copies of visas; scholarship information; institution admissions forms; graduate school applications; transcripts of previous college work; grade reports of prior college work; grade reports from institutional courses; international student advisors' notes; degree completion certificates; explanations for student withdrawals; recommendations and evaluations of students; and related documentation and correspondence. (**Retention:** (a) 7 years after last enrollment for all student records of matriculates, destroy (b) 1 year after failure to enroll for all student records of non-matriculates, destroy)

(20) **Internship Program Records** Records document the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include but are not limited to applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence. (**Retention:** 5 years, destroy)

(21) **Law Student Records** Records document students' admission to law school at the institution. Records may include but are not limited to applications for admission; record of degree candidate; request for transfer of graduate credit; statement of completion of requirements for law degree; requests for permission to re-register in the law school; leave of absence requests; petition to extend time past 7-year completion requirement; awards; and related documentation and correspondence. (**Retention:** (a) 75 years for completed degrees, destroy (b) 7 years after last enrollment for uncompleted degrees, destroy)

(22) **Name Changes Records** Records document students or applicants name changes reported to the admissions or registrar's offices by students. Records may include but are not limited to letters requesting change in name; name change forms; lists or reports of students with changed names; and related documentation and correspondence. (**Retention:** 5 years after degree completed or last enrollment, destroy)

(23) **National Testing Records** Records document services rendered to clients by administering tests required of students seeking admission to various programs or seeking to substitute already acquired knowledge for formal college courses. Tests administered include Scholastic Aptitude (SAT); American College (ACT); Graduate Record Examination (GRE); Medical School Admission (MCAT); Pharmacy School Admission (PCAT); Business School Admission (GMAT); National Teacher Education (NTE); Veterinary College Admission Test (VCAT); and Test of English as a Foreign Language (TOEFL). Records may include but are not limited to testing rules and regulations; rosters of test takers; seating charts; supervisors' reports; and vouchers for payment of testing. This series does not include test scores. (**Retention:** 3 years after testing date, destroy)

(24) **Non-Institution Student Records** Records document and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this



series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs. Records may include but are not limited to application and admission documentation; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence. (**Retention:** 3 years after separation from program, destroy)

(25) **Placement Records** Records document the written reference history of a student to be forwarded to potential employers or professional schools. Records may include but are not limited to credentials records showing where, when, and cost of letters sent; release of information form which includes a listing of the reference letters to be sent; reference letters; student teaching reports; professional program certificates; personal data sheets and resumes; College Interview Forms; and related documentation and correspondence. (**Retention:** (a) 5 years for established files, destroy (b) 2 years for incomplete file establishment requests, destroy)

(26) **Placement Survey Records** Records document the results of periodic placement surveys conducted every two years of recent baccalaureate graduates. Records may include but are not limited to reports and questionnaires which provide the following information on individual alumni: career status or job title; continuing education; geographic location; source of finding employment; relationship of employment to major; salary; computer training needs; and number of years enrolled. (**Retention:** (a) Permanent for reports (b) 3 years for questionnaires, destroy)

(27) **Prospective International Student Records** Records document institution assistance to international students who are considering attendance at the institution. Records may include but are not limited to letters of inquiry from prospective students; official replies to inquiries; completed applications and admittance forms; local data sheets; advisory notes; and related documentation and correspondence. (**Retention:** 5 years, destroy)

(28) **Recruiters Records** This series provides a record of recruiter visits to the campus to conduct job interviews. Records may include but are not limited to scheduling calendars; Recruiter Schedules; affirmative action statements; recruiter information forms; lists of interviewees; feedback forms from recruiters; and related documentation and correspondence. (**Retention:** 2 years, destroy)

(29) **Residency Affidavits Records** document declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include but are not limited to affidavits; correspondence regarding residency; and related documentation. (**Retention:** 5 years from date status determined, destroy)

(30) **Services to Students with Disabilities (SSD) Records** Records document student participation in the Services to Students with Disabilities Program. Records may include but are not limited to health professional evaluation reports; recommendations for student applicants; high school transcripts and academic work-sheets; autobiographical essays; copies of applications for admission; copies of notices of admission; special admissions applications checklists; questionnaires; physicians' statements and

letters of recommendation; counseling interview notes and referrals; and related documentation and correspondence. (**Retention:** 5 years after last contact, destroy)

(31) **Scholarship Records** Records document the application, recruitment, selection, processing and awarding of private and public scholarships to individual students based upon a predetermined selection criteria. Records may include but not limited to correspondence, applications, disbursement documentation, selection criteria and related documentation. (**Retention:** a) Until superseded for award selection criteria, application forms, etc, destroy b) 6 years after award disbursed for individual awarded scholarships, destroy)

(32) **Special Academic Programs Student Records** Records document and tracks the application, admission, selection, and progress of institution students participating in special academic programs serving, guiding, and aiding institution students. This includes but is not limited to of the individual files for students participating in special institution programs which provide services ranging from counseling and tutoring to tuition waiver assistance. Programs may include but are not limited to the English Language Institute (ELI) and American English Institute; Educational Opportunities Program (EOP); non-traditional student programs; Older Than Average Student Program and Adult Learners; National Student Exchange Program (NSE); Native American Science Program (NASP); University Exploratory Studies Student Program (UESP); Study Abroad Program; Academic Learning Services (ALS); Peer Advising; and other special academic programs. Records may include but are not limited to application documentation; personal information; medical and health documentation; admission and non-acceptance documentation; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence. (**Retention:** (a) 7 years for accepted and enrolled participants, destroy (b) 2 years for denied admission or did not enroll after acceptance, destroy)

(33) **Student Academic Records** Records document the academic progress of graduate and undergraduate matriculated students at the institution. Records may include but are not limited to institution academic transcripts; high school and non-institutional college transcripts; applications; notices of admission, readmission, denial and acceptance; grade reports; records of grade changes; reservation of credit requests; petitions for exemption from institution regulations and procedures; applications for withdrawal from the institution forms; advanced standing reports; standardized examination reports; letters of recommendation; vault number index card file; and related documentation and correspondence. (**Retention:** (a) Permanent for institutional academic transcripts, applications for admission, and grade change records of students awarded degrees (b) 7 years after students graduation/last enrollment for all other records, destroy)

(34) **Student Activity Reports Records** document graduate and undergraduate student statistics in a specific instructional unit and is used to provide summary information which may be used for planning or review. This report may include but is not limited to country of origin; degree(s) held and pursued; financial situation; gender and ethnicity; marital status; veterans status; academic standing and grade point averages; placement test scores; immigration status; and other data elements. (**Retention:** Until superseded or obsolete, destroy)

(35) **Students Admissions Records** Records document the application process for individuals seeking admission to the institution. Records may include but are not limited to admission applications;

academic transcripts from other institutions; test scores; letters of admittance; and related documentation and correspondence. (**Retention:** Until matriculation, transfer to the Registrar's Office for inclusion in the Student Academic Records)

(36) **Student Advising Records** Records document undergraduate and/or graduate student's academic progress within a specific department and or college program. Most of the components in this record series are reference copies of records maintained in the files of the Registrar's Office and/or the Graduate School and are maintained for the convenience of the student academic advisors. Records may include but are not limited to applications for program admission; notices of admission; grade reports; degree program requirement lists; departmental course waiver forms; program advisors' reports showing progress towards academic degrees; advising checklist forms; advisors' notes; copies of transcripts; Program Planning Sheets; advanced standing examination reports; official graduation audits; curriculum posting sheets; recommendation letters; suspension notices; re-admission notices; comprehensive exam results; awards; and related documentation and correspondence. (**Retention:** 1 year after degree completed or last enrollment, destroy)

(37) **Student Conduct Records** Records document violations of student conduct codes and policies. Records may include but are not limited to incident reports, evidence, notifications of allegation, notifications of decision or outcome, and related documentation and correspondence. **Retention:** (a) 75years from the date of the initial incident that resulted in expulsion, degree revocation, negative notation on the transcript destroy, (b) 5 years from the date of the initial incident for suspension, unresolved incidents of academic misconduct and all other student conduct files, destroy).

(38) **Student Development Transcripts Records** Records document students participation in university clubs, organizations, honor societies and special academic programs such as the Study Abroad Program; volunteer service in community organizations; and honors and awards received. Records include transcripts listing activities, background materials used to validate the activities, and related correspondence. (**Retention:** (a) Permanent for transcripts (b) 5 years after last activity for all other records, destroy)

(39) **Student Non-Disclosure Requests Records** Records document the request by a student to restrict release of information normally provided as directory information as per Family Educational Rights and Privacy Act (U.S. Public Law 93-380). This series may contain but is not limited to student requests for non-disclosure of directory information and memoranda distributed to pertinent departments informing units which might have pertinent information not to disclose that information. (**Retention:** (a) 1 year for revoked requests, destroy (b) Permanent all other records)

(40) **Student Organization Administrative Records** Records document the history, development, and policies of campus student organizations. Records may include but are not limited to annual review forms; minutes; constitutions and bylaws; committee, subcommittee, and task-force records; Student Senate bill and resolution files; budgets; handbooks; officer and member rosters; scrapbooks; photographs; and related documentation and correspondence. (**Retention:** Permanent)

(41) **Student Recruitment Records** Records document efforts of the institutional units to recruit students based upon disadvantaged status, academic performance, and other criteria. Records may include but are not limited to prospects lists; interview and conversation notes; photographs; personal

information forms and resumes; test scores; academic transcripts; and related documentation and correspondence. **(Retention: 5 years, destroy)**

(42) **Student Status Cards Records** document the status of students who are enrolled or have been enrolled and graduated from the academic program. Information on the individual cards may include but is not limited to name; date entered; department; change of school; graduation dates; degrees; previous schools attended; notation of activities and honors; and photographs of individuals. **(Retention: 20 years, destroy)**

(43) **Students (Undergraduate) Denied Admissions/No Show Records** Records document undergraduate students who have been denied entry into degree or certificate programs or who have been admitted but have not enrolled or withdrawn. Records may include but are not limited to: admission applications; academic transcripts from other institutions; test scores; letters of admittance; and related documentation and correspondence. **(Retention: (a) 2 years after denial of admission, destroy (b) 1 year after notification of admission if applicant fails to enroll, destroy)**

(44) **Student Statistical Reports Records** document student status and enrollment at the institution. Records may include specialized listings and statistical reports pertaining to departmental and college registration, course changes, add/drops, geographical distribution of students, student age and gender data, mortality of classes, student transfers from other schools, student body grade point averages and GPAs of living groups, and veterans enrollment; reports documenting student and enrollment by term; and reports on other topics. **(Retention: (a) Permanent for summary and annual reports (b) 3 years for all other records, destroy)**

(45) **Student Tracking Records** Records document student enrollment in courses and changes in enrollment. The series also documents admission status changes, affiliation and registration in colleges or schools, and changes in grading basis. Records may include but are not limited to registration forms; registration change forms (add/drop forms); withdrawal forms; application for re-admission forms; change of schools (within the institution) forms; and grading basis (unsatisfactory/satisfactory) change forms. **(Retention: 1 year, destroy)**

(46) **Supplemental Grade Report Records** Records document grade changes submitted by instructors through the academic departments to the Registrar. Records may include but are not limited to supplemental grade reports (SGRs); removal of I and E forms; and related documentation and correspondence. **(Retention: (a) 5 years for records created after implementation of the Student Information System, destroy (b) 25 years for records created before implementation of the Student Information System, destroy)**

(47) **Theses and Dissertations Records** Records document the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes but is not limited to final and accepted copies of theses and dissertations and final and terminal projects. **(Retention: Permanent)**

(48) **Transcript Hold or Encumbering Authorization Forms Records** document holds on transcripts and academic reporting information placed by the institution for a number of reasons. This series consists of forms authorizing the holding of academic records and information until a specific action is taken by the subject of the academic record. **(Retention: Until release of the hold authorization, destroy)**

(49) **Transcript Request Forms Records** document students' requests for transcripts to be sent to other institutions. Information on the individual form includes student's present name and other name(s) under which the student attended; social security number; vault number (used in locating the transcript in the Student Record series); home address; phone number; student signature; number of copies of transcript requested; fee status; whether official or unofficial transcripts are desired; date of request; and destination(s) of transcript(s). (**Retention:** 6 months, destroy)

(50) **Undergraduate Degree Audit and Application for Graduation Records** Records document student completion of degree requirements. Records may include but are not limited to work sheets; transcripts; and transfer course evaluations. The series may also include official graduation audit forms that list students' names; colleges; majors; degrees; minors; the course loads taken by the applicants for previous three terms; the breakdown of institutional undergraduate degree requirements (as opposed to school, major, or certificate program graduation requirements) and how the applicants have fulfilled them; grade point averages; and deans' recommendations/ comments and signatures. (**Retention:** 5 years after last enrollment, destroy)

(51) **Veterans Records** Records document the entitlement status and enrollment of veterans in the institution. Records include but are not limited to Oregon State Veterans Affairs form 1006M that certifies Oregon resident veterans educational benefits entitlements; individual veteran student records that certify to the U.S. Department of Veterans Affairs that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum, and is maintaining standards required to receive entitlements; veterans attendance reports; and related forms, documentation and correspondence. (**Retention:** 3 years following termination of enrollment period, destroy).