

Arkansas State University - Jonesboro

Effective Date: 05/02/05

Number: 08-09

Section: Computer and Information Services

Subject: Records Retention

This guideline establishes the procedures and standards for Arkansas State University in connection with the retention of University records by various divisions and departments of ASU. It is the intent of this procedure to ensure that all University records are maintained in accordance with all applicable statutory and procedure requirements in order to make certain that University records are not improperly or prematurely disposed of by a University department. Additionally, this procedure provides guidance to University employees as to appropriate time frames under which University records that are no longer necessary for the operation of the University may be properly disposed of, thereby promoting efficient and effective use of the University's limited storage capacity.

DISPOSAL PROCESS FOR UNIVERSITY RECORDS

The delegates of executive custodians identified in the records retention schedule (Appendix A) may authorize and subsequently dispose of University records when the retention period for said records has expired. Disposal must be conducted in a manner as identified by the "Disposal Method", and must be documented. The following criteria must be met in order to dispose of applicable records:

1. The records to be disposed of meet or exceed the time frames established for such records in Appendix "A".
2. The disposal of the records complies with statutory, contractual or accreditation obligations.
3. The records to be disposed of do not relate to or contain information regarding current, pending or potential litigation involving the University.

Any questions regarding these criteria should be addressed to the University Legal Counsel through the Vice Chancellor for Finance and Administration.

These criteria do not apply to individual documents that are processed individually as a part of an employee's daily activities, but rather to large quantities of records which have been retained as a part of the University archival and retrieval practices.

Record Security

The security of physical (printed or microfilmed) records is the responsibility of the respective Executive Custodian, regardless of storage location. The security of

electronic records is the responsibility of the enterprise technology services organization, Information & Technology Services.

For questions or information, please contact:

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Procedure Modification

It will occasionally be necessary to update this procedure as statutes, regulations, and business processes change. In the event that modification is necessary, the University data management committee will define and draft modifications to this procedure, for approval by the executive staff of the University.

Revised on 05/24/13.

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Appendix A

Type of Record	Description of Record	Retention Period	Retention Location	Custodian (Executive)	Disposal Method
Academic Affairs and Research					
Faculty Files	Official transcripts, curriculum vitae, contract, sabbatical, resignation, and resignation acceptance	5 Years after termination/resignation; Departments are also required to retain faculty file for 5 Years	Provost Office/Electronic Storage (WebXtender)	EVC & Provost	Shred
Promotion, Retention, and Tenure	Includes applications, supporting documents such as teaching evaluations and scholarly works, committee recommendations, administrative evaluations, and final decisions. These are kept separately from other employee files and are used to assess performance in teaching, research, and service.	5 Years after termination/resignation; Departments are also required to retain faculty file for 5 Years	Provost Office/Electronic Storage (OneDrive/WebXtender)	EVC & Provost	Shred
Alumni					
Donor Gift Records	System-Generated Reports - resides in Raiser's Edge (Blackbaud) on hosted server.	Permanent	Electronic Storage (Blackboard Raiser's Edge)	VC University Advancement	N/A
Donor Yearly Statements	Annual giving and endowment report data are maintained in the Blackbaud RENXT CRM, housed securely on Blackbaud's hosted server with no paper copies. Annual donor statements and endowment reports are generated and mailed by the ASU System Foundation. While donor giving history is stored in RENXT, related bank data used for calculating endowment reports (e.g., interest, balances) is not stored there.	1 Year	Alumni Office	VC University Advancement	Shred
Scholarship Records	Award Criteria, Letters, Correspondence, Financial Reports. Scholarship data is primarily maintained in the Blackbaud RENXT and Award Management systems, both securely hosted off-site by Blackbaud. Effective 2024, all privately funded scholarships are handled through this platform, including student applications, award details, terms, and amounts. Historical financial information may still exist in physical files, but all current awards have transitioned to digital-only format. No paper copies of awards are retained. Any digital versions of recipient profiles are uploaded to the secure Advancement fileshares on A-State's on-premise server.	Permanent	Alumni Office/Electronic Storage (Blackboard Raiser's Edge)	VC University Advancement	Shred
Board of Trustees					
Resolutions	Resolutions and Supporting Documentat	Permanent	Electronic Storage; Chancellor's Office	VC Finance & Administration	N/A
Budget					
Bound Budgets & Support	Budget Document, Support	Permanent	Budget Office	VC Finance & Administration	Shred
Legislative Forms & Reports	Documents pertaining to Legislative Budget Process and Procedures	7 Years	Budget Office	VC Finance & Administration	Shred
Permanent Budget Transfers	Transfers for Annual Budget	5 Years	Budget Office	VC Finance & Administration	Shred
Temporary Budget Transfers	Transfers entered by Budget personnel	3 Years After Close	Budget Office, Electronic Storage	VC Finance & Administration	Shred
UPC Minutes & Documentation	Meeting Minutes and Support	7 Years	Budget Office	VC Finance & Administration	Shred
Office of the Associate CFO					
Audit Reports and Correspondence	Legislative Reports, Correspondence	3 Years After Close	Vault, Electronic Storage	VC Finance & Administration	Shred
Bank Reconciliations & Support	Work papers, Bank Statements & Support	3 Years After Close	Accounts Payable, Vault	VC Finance & Administration	Shred
Financial Records	Year-end work papers, Supporting Documents	3 Years After Close	Electronic Storage, Vault	VC Finance & Administration	Shred
Journal Vouchers	Journal entries and transfers	3 Years after the Current Audit Date	Vault, Electronic Storage	VC Finance & Administration	Shred
Payment Vouchers & Support	Payment Vouchers, POs, Invoices, Support	3 Years after the Current Audit Date; Departments should retain for the current and previous fiscal year.	Vault, Electronic Storage	VC Finance & Administration	Shred

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Travel Records	Authorizations, Reimbursements, Support, Travel and Department Card Reconciliations	3 Years after the Current Audit Date; Departments should retain for the current and previous fiscal year.		VC Finance & Administration	Shred
Bond Issues					
Arbitrage Calculations	Independent Accountant Reports	Life of Bond + 10 Years	Finance and Admin Files (Hallway)/Vault	VC Finance & Administration	Shred
Debt Service Payments	Payment Vouchers, Work papers, Support	Life of Bond + 10 Years	Finance and Admin Files (Hallway)/Vault	VC Finance & Administration	Shred
Indentures and Related Correspondence	Bond Indenture Documents, Support	Permanent	Finance and Admin Files (Hallway)/Vault	VC Finance & Administration	N/A
Rebate Calculations	Independent Accountant Reports	10 Years	Finance and Admin Files (Hallway)/Vault	VC Finance & Administration	Shred
Property and Fixed Assets					
Appraisals, Closing Documents, Support	Legal Documents, Support	3 Years After Property is Sold	Accounts Payable	VC Finance & Administration	Shred
Capital Assets Accounting Records	Payment Vendors, Support	Permanent	Accounts Payable	VC Finance & Administration	N/A
Deeds, Titles, Abstracts	Legal Documents, Support	3 Years After Property is Sold	Accounts Payable	VC Finance & Administration	Shred
Fixed Asset Adjustments	Adjustments	5 Years	Electronic Storage	VC Finance & Administration	Shred
Sponsored Programs Accounting					
Federal Financial Aid Records	Federal Documents, Support	3 Years After Final Report	Sponsored Programs Office, Vault, Electronic Storage	VC Finance & Administration	Shred
Pre & Post Award Documentation	Agency Correspondence, Work papers, Support	3 Years After Final Report	Sponsored Programs Office, Vault, Electronic Storage	VC Finance & Administration	Shred
Student Stipend Payments	Student support forms to record payments to students' accounts from externally sponsored programs	Permanent	Electronic Storage		N/A
Time and Effort Records	Effort certification records in regards to sponsored projects	Permanent	Electronic Storage	VC Finance & Administration	N/A
Facilities Management					
Motor Pool Vehicle Requests	Internal Documents, Support	1 Year	Motor Pool Files	VC Finance & Administration	Shred
Utility Records	Utility Billings	1 Year	Facilities Management Mezzanine	VC Finance & Administration	Shred
Financial Aid Records					
Federal and State Financial Aid Documents	Federal and State Financial Aid Documents	4 Years after Fisap	Financial Aid & Scholarship Office & Data Center	VC Student Affairs	Shred
Employee Services					
Human Resources					
Applications of Employment	Applicants for position vacancies	3 years after close of announcement	Applicant Track System, Electronic Storage	VC Finance & Administration	Shred
Benefit Plan Documents	Detailed handbook outlining benefits & coverage	5 years	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Benefit Records	Medical and dental records, retirement plan enrollment, deductions, unemployment	5 years after separation or until closure of unresolved personnel issues, whichever is greater	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Catastrophic Leave Request	Includes individuals personal request for catastrophic leave and documentation	5 years after catastrophic leave is completed	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Employment Reporting Form	Monthly reporting form required by State Accounting	2 years from date of report	Human Resources, Electronic Storage	VC Finance & Administration	Shred
FMLA Records	Basic payroll and employee data including + FMLA Information	3 years from close of FMLA claim	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Grievance Records and Reports	Documents the proceedings of an employee grievance, including the initial complaint, actions, investigation, summary and disposition	3 years after closure	Human Resources, Electronic Storage	VC Finance & Administration	Shred
I-9 Form	Eligibility Verification Form and Records including tax forms W-4 and State tax, and payroll deductions	3 years after date of hire or one year after separate date, whichever is later	Human Resources, Electronic Storage	VC Finance & Administration	Shred

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Personnel Files	Records documenting employment, certifications, promotions, evaluations, disciplinary actions, and security check records	5 years from the date of separation or until closure of unresolved personnel issues, whichever is greater	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Retiree File	Benefit Enrollment, Retirement Plan Selection	7 years after termination of retiree benefits	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Sexual Discrimination Files	Complaints, Reports	Permanent	Human Resources, Electronic Storage	VC Finance & Administration	N/A
Training and Education Records	Documents classes, meetings, and seminars for training or education purposes	4 years or as long as administratively necessary, whichever is greater	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Tuition Discount Forms	Discount forms for tuition/fees for employees and dependents	2 years from academic term discount was given	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Unemployment Insurance Records	Documents payment or denial of unemployment claims	5 years after case closure	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Workers Compensation Accident Reports	Documents occurrence of occupational injuries as reported to the Arkansas Workers Compensation Commission	3 years from date of injury	Environmental Health & Safety	VC Finance & Administration	Shred
Workers Compensation Illness Reports	Documents occurrence of occupational disease or infection as reported to the Arkansas Workers Compensation Commission	6 years from date of incident	Environmental Health & Safety	VC Finance & Administration	Shred
Payroll Services					
Check History	Wage Information	Permanent	Payroll & Ground Floor Vault, Electronic Storage	VC Finance & Administration	N/A
Employee History Records	Documents pertaining to an employee's length of service and pay-grade evidencing proof of service; Employee status forms	Permanent	Payroll & Ground Floor Vault, Electronic Storage	VC Finance & Administration	N/A
Employee Wage and Hour Records	Records pertaining to time and leave information (hourly employees timesheets and reports)	2 years	Electronic Storage	VC Finance & Administration	Shred
Payroll Registers	Earnings, Taxes, Deductions, Benefits, Payroll Calculations	4 years	Payroll/Eprint	VC Finance & Administration	N/A
Tax Returns	941, W-3, Work Comp, Unemployment, State Tax Reconciliation	7 Years	Payroll & Ground Floor Vault	VC Finance & Administration	Shred
W-2	Taxable Wage Info.	Permanent	Ground Floor Vault, Electronic Storage	VC Finance & Administration	N/A
Information Technology Records					
Call Detail Records	Electronic Records	1 Year	Data Center	CIO/VC Distance Education & Technology	Shred
CSS Billing Records	Electronic Departmental Billing Statement	5 Years	Data Center & Offsite	CIO/VC Distance Education & Technology	Reuse
E-Mail	E-Mail Messages	6 months	Data Center	CIO/VC Distance Education & Technology	Shred
HEAT Work order Records	E-Work Descriptions	5 Years	Data Center & Offsite	CIO/VC Distance Education & Technology	Shred
(Old) Phone Billing Records	Departmental Billing Statements	5 Years	Data Center	CIO/VC Distance Education & Technology	Shred
Vendor Billing Records	Paper Billing	5 Years	Data Center	CIO/VC Distance Education & Technology	Shred
Vendor E-Billing Records	E-bill	5 Years	Data Center & Offsite	CIO/VC Distance Education & Technology	Shred
Work Order Records	E-Work Descriptions	3 Years	Data Center & Offsite	CIO/VC Distance Education & Technology	Shred
Account Records	User Accounts	3 Years after Expiration	Data Center & Offsite	CIO/VC Distance Education & Technology	Shred
Visitor Access	Visitor's name and organization, signature, date of access, entry and departure times, and the name and organization of individual being visited.	1 Year	ITS	CIO/VC Distance Education & Technology	Shred
Procurement Services					
Competitive Bids and Supporting Documentation	Vendor Responses, Support	7 Years	Electronic Storage	VC Finance & Administration	Shred
P-Card Logs	Coversheet and receipts	3 Years after the Current Audit Date; Departments should retain for the current and previous fiscal year.	Electronic Storage	VC Finance & Administration	Shred
Purchase Orders	Internal Documents, Support	3 Years after the Current Audit Date	Electronic Storage since 01/01/2006	VC Finance & Administration	Shred
W-9 Forms	W-9 tax forms for U.S. vendors	3 Years after the Current Audit Date	Procurement Services Files, Electronic Storage	VC Finance & Administration	N/A

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Admissions & Registrar Records					
Applications for Admission	Online application data stored in Banner & Slate	Permanent (Minimum 7 years)	Cloud (Ellucian and Technolutions)	AVC Institutional Research & Provost	N/A
Correspondence Admissions	Miscellaneous emails, letters and other correspondence of those not enrolling	Permanent (Minimum 7 years)	Electronic Storage (WebXtender)	AVC Institutional Research & Provost	N/A
Correspondence Grades	Grade cards from Continuing Education	Permanent (Minimum 2 years after submission)	Electronic Storage (WebXtender)	AVC Institutional Research & Provost	N/A
Enrollment Verification	Electronic Clearinghouse Information	Permanent (Minimum 2 years after submission)	Cloud (National Student Clearinghouse)	AVC Institutional Research & Provost	N/A
Paper Transcripts/Folders/Files	Remaining paper transcripts & student folders/files/documents.	Permanent Until Scanned into WebXtender	Registrar's Office (Filing Cabinets)	AVC Institutional Research & Provost	Shred
Shot records	Proof of MMR vaccinations for those not enrolling	Permanent (Minimum 7 years)	Electronic Storage (WebXtender)	AVC Institutional Research & Provost	N/A
Student Folders	Admission & Registration Documents	Permanent (Minimum 7 years after last enrollment)	Electronic Storage (WebXtender)	AVC Institutional Research & Provost	N/A
Student Transcripts	1918 to 1934	Permanent	Microfilm in Transcripts, Backup in Data Center & WebXtender Cloud	AVC Institutional Research & Provost	N/A
Student Transcripts	1934 to Fall 1990	Permanent	Microfilm in Transcripts, Backup in Data Center & WebXtender Cloud	AVC Institutional Research & Provost	N/A
Student Transcripts	Fall 1990 to present	Permanent	Electronic Storage (WebXtender)	AVC Institutional Research & Provost	N/A
Test scores	Test scores for those not enrolling	Permanent (Minimum 7 years)	Cloud (Ellucian)/Electronic Storage (WebXtender)	AVC Institutional Research & Provost	N/A
Recruitment					
Correspondence/Recruiting/Prospect/Lead Documentation	Miscellaneous emails, letters and other correspondence of those not enrolling	Permanent (Minimum 7 years)	Electronic Storage (WebXtender)	VC Enrollment Management	N/A
Rental Property					
Leases	Legal Documents, Support	3 Years After Lessee Vacates	ASU Rental Property Office, Electronic Storage	VC Finance & Administration	Shred
Treasurer					
Cashiering					
Auditor of State Warrants	Checks and Support from Auditor of State	5 Years	Vault, Electronic Storage	VC Finance & Administration	Shred
Cash Register Tapes & Reconciliations	Cash Register Tapes, Work papers	5 Years	Vault, Electronic Storage	VC Finance & Administration	Shred
Credit Card Refunds	Supporting documentation for refunds	5 Years	Vault, Electronic Storage	VC Finance & Administration	Shred
Journal Entries	Cash Register Tapes, Receipts, Work papers	5 Years	Vault-Receipts; Journal Entries-Electronic Storage/Accounts Payable	VC Finance & Administration	Shred
Student Accounts					
Daily Financial Feed Records	System-Generated Reports	7 Years	Student Account Offices, Electronic Storage	VC Finance & Administration	Shred
End of Month Reports	System-Generated Reports	7 Years	Student Account Offices, Electronic Storage	VC Finance & Administration	Shred
End of Year Reports	System-Generated Reports	7 Years	Student Account Offices, Electronic Storage	VC Finance & Administration	Shred
Student Manual Entries	Voucher cover sheet, Support	7 Years	Student Account Offices, Electronic Storage	VC Finance & Administration	Shred
Purged Student Account Detail Records	PLUS System-Generated Reports	Permanent	Student Account Offices, Vault	VC Finance & Administration	N/A
Student Loan Records	Internal Documents, Support	Permanent	Student Account FP File Cabinets, Vault	VC Finance & Administration	N/A
W-8 Forms	W-8 tax forms for international vendors	3 Years	Treasurer's Office; Electronic Storage	VC Finance & Administration	Shred
Student Affairs Records					
Conduct Records	Student Conduct	7 Years	Student Conduct	VC Student Affairs	Electronically
Counseling Records	Intake/Summary of Service	7 Years	Wilson Counseling Center	VC Student Affairs	Electronically
Housing Records	Contract/Application/Inventory	3 Years	University Housing	VC Student Affairs	Electronically

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Type of Record	Description of Record	Retention Period	Retention Location	Custodian (Executive)	Disposal Method
University Police Department					
Accident Reports	All accidents occurring on campus	7 Years from date of occurrence	University Police Department	VC Student Affairs	Shred
CJIS Training Records	All training records of institutional personnel that have completed CJIS training	Minimum 3 years	University Police Department/Electronic Storage	VC Student Affairs	Shred
Offense Reports	All offenses occurring within ASU jurisdiction	7 Years from date of occurrence	University Police Department	VC Student Affairs	Shred
Officer Logs/Station Logs	Officers and call activity to UPD	7 Years	University Police Department	VC Student Affairs	Shred
Officer Personnel and Training Records	Officer file for inspection by Minimum Standards	1 Year after separation from department	University Police Department	VC Student Affairs	Shred