

Arkansas State University
Records Retention Procedure
May 2, 2005

I. Policy Statement

This policy 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 policy to ensure that all University records are maintained in accordance with all applicable statutory and policy requirements in order to make certain that University records are not improperly or prematurely disposed of by a University department. Additionally, this policy 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.

II. 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 President 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.

III. Record Security

The security of *physical* (printed or microfilmed) records are the responsibility of the respective Executive Custodian, irregardless of storage location. The security of *electronic* records is the responsibility of the enterprise technology services organization, Information & Technology Services.

IV. Policy Modification

It will occasionally be necessary to update this policy 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 policy, for approval by the executive staff of the University.

For Questions or Information, Please Contact:

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Arkansas State University
Records Retention Schedule
Appendix A

Type of Record	Description of Record	Retention Period	Retention Location	Custodian (Executive)	Disposal Method
Audits					
Financial Records	Workpapers, Supporting Documents	3 Years After Close	Controller's Office, Vault	VC Finance & Administration	Incineration
Audit Reports and Correspondence	Legislative Reports, Correspondence	3 Years After Close	Controller's Office, Vault	VC Finance & Administration	Incineration
Bank Reconciliations & Support	Workpapers, Bank Statements & Support	3 Years After Close	Controller's Office, Vault	VC Finance & Administration	Incineration
Accounts Payable					
Vouchers & Support	Payment Vouchers, Invoices, Support	5 Years	Vault, Electronic Storage	VC Finance & Administration	Incineration
Fed Form 1099	Federal Tax Documents	5 Years	Vault	VC Finance & Administration	Incineration
Bond Issues					
Indentures and Related Correspondence	Bond Indenture Documents, Support	Perpetuity	Controller's Office, Vault	VC Finance & Administration	Incineration
Rebate Calculations	Independent Accountant Reports	10 Years	Controller's Office, Vault	VC Finance & Administration	Incineration
Arbitrage Calculations	Independent Accountant Reports	Life of Bond + 10 Years	Controller's Office, Vault	VC Finance & Administration	Incineration
Debt Service Pymts	Payment Vouchers, Workpapers, Support	Life of Bond + 10 Years	Controller's Office, Vault	VC Finance & Administration	Incineration
Budget					
Permanent Budget Transfers	Transfer Forms - Internal Document	2 Years	Budget Office, Electronic Storage	VC Finance & Administration	Shred
Bound Budgets & Support	Budget Document, Support	7 Years	Budget Office	VC Finance & Administration	Shred
UPC Minutes & Documentation	Meeting Minutes and Support	7 Years	Budget Office	VC Finance & Administration	Shred
Cashiering					
Receipts and Support	Cash Register Tapes, Workpapers	5 Years	Vault	VC Finance & Administration	Incineration
Cash Register Tapes & Reconciliations	Cash Register Tapes, Workpapers	5 Years	Vault, Electronic Storage	VC Finance & Administration	Incineration
Facilities Management					
FM Interdepartmental Transfer Requests	Internal Documents, Support	1 Year	Facilities Management Files	VC Finance & Administration	Shred
Utility Records	Utility Billings	1 Year	Facilities Management Files	VC Finance & Administration	Shred
Departmental Timecard Records	Timecard Documents	1 Year	Facilities Management Files	VC Finance & Administration	Shred
Motor Pool Vehicle Requests	Internal Documents, Support	1 Year	Facilities Management Files	VC Finance & Administration	Shred
Central Receiving Reports (FM Copy)	Internal Documents, Support	1 Year	Facilities Management Files	VC Finance & Administration	Shred
Financial Records System					
Daily Feeds	System-Generated Reports	1 Year	Electronic Storage	VC Finance & Administration	Reuse
End of Month Reports	System-Generated Reports	5 Years	Electronic Storage	VC Finance & Administration	Reuse
End of Year Reports	System-Generated Reports	5 Years	Electronic Storage	VC Finance & Administration	Reuse
Journal Vouchers	Internal Documents, Support	5 Years	Electronic Storage	VC Finance & Administration	Reuse
Interdepartmental Transfers	Internal Documents, Support	5 Years	Electronic Storage	VC Finance & Administration	Reuse
Procurement Services					
Competitive Bids and Supporting Documentation	Vendor Responses, Support	7 Years	Procurement Services Files, Electronic Storage	VC Finance & Administration	Incineration
Purchase Orders	Internal Documents, Support	7 Years	Procurement Services Files, Electronic Storage	VC Finance & Administration	Incineration
Sponsored Programs Accounting					
Pre & Post Award Documentation	Agency Correspondence, Workpapers, Support	3 Years After Close	Sponsored Programs Office, Vault, Electronic Storage	VC Finance & Administration	Incineration
Federal Financial Aid Records	Federal Documents, Support	3 Years After Close	Sponsored Programs Office, Vault	VC Finance & Administration	Incineration
Student Accounts					
Purged Account Detail Records	System-Generated Reports	Perpetuity	Student Account Offices, Vault	VC Finance & Administration	Incineration
Daily Financial Feed Records	System-Generated Reports	7 Years	Student Account Offices, Vault, Electronic Storage	VC Finance & Administration	Incineration
End of Month Reports	System-Generated Reports	7 Years	Student Account Offices, Vault	VC Finance & Administration	Incineration
End of Year Reports	System-Generated Reports	7 Years	Student Account Offices, Vault	VC Finance & Administration	Incineration
Student Loan Records	Internal Documents, Support	7 Years After Close	Student Account FP File Cabinets, Vault	VC Finance & Administration	Incineration
Property and Fixed Assets					
Deeds, Titles, Abstracts	Legal Documents, Support	3 Yrs After Property is Sold	Cashiers' Vault	VC Finance & Administration	Incineration or Shred
Appraisals, Closing Documents, Support	Legal Documents, Support	3 Yrs After Property is Sold	VC F&A Area, Electronic Storage	VC Finance & Administration	Incineration or Shred
Capital Assets Accounting Records	Payment Vendors, Support	Perpetuity	Controller's Office, Vault, Electronic Storage	VC Finance & Administration	Incineration or Shred
Rental Property					
Leases	Legal Documents, Support	3 Yrs After Lessee Vacates	ASU Rental Property Office, Electronic Storage	VC Finance & Administration	Incineration or Shred
Admissions					
Application for admission	Online application data stored in Banner	7 years	ITS Servers	VC Student Affairs	Deleted electronically
High school transcripts	High school transcripts for those not enrolling	7 years	Scanned into online storage; ITS	VC Student Affairs	Deleted electronically
Test scores	Test scores for those not enrolling	7 years	Scanned into online storage; ITS	VC Student Affairs	Deleted electronically
Shot records	Proof of MMR vaccinations for those not enrolling	7 years	Scanned into online storage; ITS	VC Student Affairs	Deleted electronically
Correspondence	Miscellaneous emails, letters and other correspondence of those not enrolling	7 years	Scanned into online storage; ITS	VC Student Affairs	Deleted electronically
Alumni					
Donor Gift Records	System-Generated Reports	Perpetuity	Alumni Office	VC University Advancement	
Donor Yearly Statements	Financial Information	1 year	Alumni Office	VC University Advancement	Shred
Scholarship Records	Award Criteria	Perpetuity	Alumni Office	VC University Advancement	Incineration or Shred
	Award Letters	Perpetuity	Alumni Office	VC University Advancement	Shred
	Memoranda	Perpetuity	Alumni Office	VC University Advancement	Shred
	Correspondence	Perpetuity	Alumni Office	VC University Advancement	Shred
	Financial Reports	Perpetuity	Alumni Office	VC University Advancement	Shred

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Human Resources					
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	Shredded after imaged
Applications of Employment	Applicants for position vacancies	3 years after close of announcement	Human Resources, Electronic Storage	VC Finance & Administration	Shredded after imaged
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
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	Shredded after imaged
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	Shredded after imaged
Retiree File	Benefit Enrollment, Retirement Plan Selection	7 years after termination of retiree benefits	Human Resources, Electronic Storage	VC Finance & Administration	Shredded after imaged
Employment Reporting Form	Monthly reporting form required by State Accounting	2 years from date of report	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	Shredded after imaged
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	Shredded after imaged
Benefit Plan Documents	Detailed handbook outlining benefits & coverage	5 years	Human Resources, Electronic Storage	VC Finance & Administration	Shred
Sexual Harassment Files	Complaints of harassment	Perpetuity	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	Shredded after imaged
Payroll					
W-2	Taxable Wage Info.	Permanent	Payroll Vault & Ground Floor Vault, Electronic Storage	VC Finance & Administration	Incineration
Check History	Wage Information	Permanent	Payroll Vault & Ground Floor Vault, Electronic Storage	VC Finance & Administration	Shred
Employee Wage and Hour Records	Records pertaining to time and leave information (hourly employees timesheets and reports)	2 years	Payroll Vault & Ground Floor Vault, Electronic Storage	VC Finance & Administration	Shredded after imaged
Employee History Records	Documents pertaining to an employee's length of service and pay-grade evidencing proof of service) Employee status forms	Permanent	Payroll Vault & Ground Floor Vault	VC Finance & Administration	Shred
Tax Returns	941, W-3, Work Comp, Unemployment, State Tax Reconciliation	7 Years	Payroll Vault & Ground Floor Vault	VC Finance & Administration	N/A
Payroll Registers	Earnings, Taxes, Deductions, Benefits, Payroll Calculations	4 years	Data Center: Eprint	VC Finance & Administration	Shred
Registrar Records					
ASU Student Transcripts	1918 to 1934	Permanent	Microfilm in Transcripts, Backup in Data Center	EVC & Provost	Shred
ASU Student Transcripts	1934 to Fall 1990	Permanent	Microfilm in Transcripts, Backup in Data Center	EVC & Provost	Incineration or Shred
ASU Student Transcripts	Fall 1990 to present	Permanent	Data Center: Doc Imaging	EVC & Provost	Shred
Student Folders	Admission & Registration Documents	7 Years after last enrollment	Hard Copies in Transcripts	EVC & Provost	Incineration
Enrollment Verification	Electronic Clearinghouse Information	2 years after submission	Data Center: Doc Imaging	EVC & Provost	Reuse
Correspondence Grades	Grade cards from Continuing Education	2 years after submission	Registrar Office	EVC & Provost	Incineration
Information Technology Records					
(Old)Phone Billing Records	Departmental Billing Statements	5 Years	Data Center	VC Finance & Administration	Incineration
CSS Billing Records	Electronic Departmental Billing Statement	5 Years	Data Center & Offsite	VC Finance & Administration	Reuse
Vendor Billing Records	Paper Billing	5 Years	Data Center	VC Finance & Administration	
Vendor E-Billing Records	E-bill	5 Years	Data Center & Offsite	VC Finance & Administration	Shred
Call Detail Records	Electronic Records	1 Year	Data Center	VC Finance & Administration	Incineration
Work Order Records	E-Work Descriptions	3 Years	Data Center & Offsite	VC Finance & Administration	Shred
HEAT Work order Records	E-Work Descriptions	5 Years	Data Center & Offsite	VC Finance & Administration	Incineration
Account Records	User Accounts	3 Years after Exp	Data Center & Offsite	VC Finance & Administration	Incineration or Shred
E-Mail	E-Mail Messages	6 months	Data Center	VC Finance & Administration	Incineration or Shred
Student Life Records					
Residence Life Records	Contract/Application/Inventory	3 Years	Residence Life Office	VC Student Affairs	Incineration or Shred
Medical Records and Pharmacy Records	Paper Charts and QS-1 (Pharmacy Program)	7 Years	Student Health Center	VC Student Affairs	Incineration or Shred
Judicial Files	Student Conduct	7 Years	Assistant Dean of Students' Office	VC Student Affairs	Incineration or Shred
Financial Aid Records	Federal and State Financial Aid Documents	4 Years after Fisap	Financial Aid & Scholarship Office & Data Center	VC Student Affairs	Incineration or Shred
Offense Reports	All offenses occurring within ASU jurisdiction	7 Years from date of occurrence	University Police Department	VC Student Affairs	Incineration or Shred
Accident Reports	All accidents occurring on campus	7 Years from date of occurrence	University Police Department	VC Student Affairs	Incineration or Shred
Officer Logs/Station Logs	Officers and call activity to UPD	7 Years	University Police Department	VC Student Affairs	Incineration or 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	Incineration or Shred