

**General Retention Schedule for the
University of North Dakota**

15-Jul-20

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Standard Record Series / User Records					
Accounting					
<u>Accounts Payable</u>					
Accounts Payable This record series contains records documenting expenditures and purchases from entities outside of the University. This includes billings, invoices, request for payments, refund/disbursements, vouchers, check copies, cancelled checks, registers, journal entries, adjusting memos, etc. that show creation and payment of financial obligations. The office of record is Procurement & Payment Services.	ACFY + 10 yrs	ACFY + 1 yr	Shred	011502	NDUS
Accounts Payable Reporting This record series contains reports generated for review or balancing of Accounts Payable system. The office of record is Procurement & Payment Services.	1 month	1 month	Recycle	011503	NDUS
Inter-departmental Billings This record series contains departmental records documenting activities and charges owed by internal University departments and functions to other departments. The office of record is originating department or Procurement & Payment Services.	ACFY + 10 yrs	ACFY + 1 yr	Recycle	011504	NDUS
<u>Accounts Receivable</u>					
Accounts Receivable This record series contains a record of charges to customers for any goods or services rendered or collected by the institution. May include journal entries and adjusting memos, work orders, and subsidiary records reflecting customer charges for goods or services and payments or credits applied to the account. The office of record is originating department or function.	ACFY + 10 yrs	ACFY + 1 yr	Shred	011804	NDUS
Accounts Receivable Reporting This record series consists of various reports concerning accounts receivable. The office of record is Procurement & Payment Services.	1 month	1 month	Shred	011805	NDUS
Patient Accounts Written Off This record series contains information on patient billing accounts that have been written off. The office of record is the School of Medicine & Health Sciences.	ACFY + 6 yrs	ACFY + 6 yrs	Shred	011814	UND
Patient Billing Records This record series contains itemized billing records for services rendered. The office of record is the School of Medicine & Health Sciences.	ACFY + 6 yrs	ACFY + 6 yrs	Shred	011813	UND
Delinquent Accounts / Collections This record series contains records associated with attempts to collect delinquent debts. Includes records associated with collection efforts using outside agencies and legal processes. ACM occurs after collection, deb matures or service provided. The office of record is the One-Stop Student Services.	ACM + 6 yrs	CFY + 3 yrs	Shred	011806	NDUS

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<u>Audit</u>					
External Audit Reports					
This record series contains audit reports received from audits conducted by external auditors employed by the University or by outside parties. Includes fiscal, performance, academic, athletic, and compliance audits. The office of record is Internal Auditing and Controller.	ACFY + 10 yrs	ACFY+ 3 yrs	Recycle	150101	UND
External Audit Workpapers					
This record series contains information provided to external auditors for their use in auditing University programs or activities. Includes all records associated with the audit with the exception of the audit report and records addressing audit findings. The office of record is the Controller.	ACFY + 10 yrs	ACFY+ 3 yrs	Recycle	150201	UND
Internal Audit Reports					
This record series contains audit reports resulting from audits conducted by University staff. The office of record is Internal Auditing.	ACFY + 10 yrs	ACFY+ 3 yrs	Recycle	150102	UND
Internal Audit Workpapers					
This record series contains internal audit workpapers including copies of documents, calculations, discussions and other materials used to develop or as reference in Internal Audit Report. The office of record is Internal Auditing.	ACFY + 7 yrs or completion of subsequent audit, whichever comes first	ACFY + 3 yrs	Recycle	150202	UND

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Cash Management					
Banking Records					
This record series contains records related to deposits of cash, checks, ACH direct deposits, wire transfers, etc. with a financial institution or approved off-campus center. This record series may also include receipt registers, bank statements, bank deposit slips, and bank reconciliations. The office of record is Procurement & Payment Services.	ACFY + 10 yrs	ACFY + 10 yrs	Recycle	010602	NDUS
Credit Card Transaction Documents - Grant & Non-Grant					
This record series contains information/reports that are generally generated from the credit card processing machine, but may include order forms, registration forms, or any other document that includes credit card information that was needed to process the credit card transaction. The office of record is the originating department. NOTE: The source documents for maintaining a record of financial transaction are contained in record series 011503 (UND) and 011505 (NDUS). The documents contained in this record series contain credit card numbers and other high risk identity theft information and are to be destroyed in compliance with the new credit card company PCI compliance requirements.	ACFY + 2 yrs	ACFY + 2 yrs	Shred	011017	UND
Receipts/Cash Transaction Records - Grant					
This record series contains information that provides a verification of payments received for goods or services provided by the department. May include journal tapes from a cash register, cash receipt books, receipts, mail logs, departmental deposits, cash daily activity etc. The office of record is the originating department.	ACFY + 10 yrs	ACFY + 10 yrs	Recycle	011505	NDUS
Receipts/Cash Transaction Records - Non-Grant					
This record series contains information that provides a verification of payments received for goods or services provided by the department. This may include journal tapes from a cash register, cash receipt books, receipts, mail logs, departmental deposit forms, cash daily activity, commission etc. This information does not include credit card reports or information. For grant fund related transactions, refer to 011505 (NDUS); the originating department is Grants and Contracts Administration. The office of record is the originating department.	ACFY + 3 yrs	ACFY + 3 yrs	Recycle	011503	UND
Remote Capture Checks					
This record series contains checks received by the Institution and deposited electronically via remote deposit capture. The Bank of North Dakota retains digital image for 7 years. The office of record is the originating department.	90 Days	90 Days	Shred	010613	UND
Ticket Sales					
This record series contains records relating to event or ticket sales activity. This includes event and ticket sales for the athletic department, performing arts, or other activities sponsored by the University. Records may include stock orders; ticket type reports; stock purchase records; box office balance sheets; printing and control records; season ticket sales listings; voided tickets, mail order receipts and orders; third party and telephone sales records; ticketmaster reports; complimentary ticket distribution records; merchandise and concession inventory records; deposits and correspondence relating to ticket sales. The office of record is originating department.	ACFY + 3 yrs	ACFY + 3 yrs	Shred	011807	NDUS

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<u>Fiscal Reporting</u>					
Annual Financial Statements & Reports This series contains the Annual Financial Reports and the Annual Financial Statements for the University. The Audited Financial Statement may be completed by the State Auditor's Office or another third-party auditing agency. The office of record is the Controller..	ACFY + 10 yrs	ACFY + 1 yr	Archives	011003	NDUS
Chart of Accounts This record series contains records relating to creation and changes to the chart of accounts. The office of record is Procurement & Payment Services.	ACFY + 10 yrs	ACFY	Shred	011302	NDUS
General Ledger This record series contains General Ledgers showing annual financial transactions. The office of record is Procurement & Payment Services.	ACFY + 10 yrs	ACFY	Recycle	011303	UND
Monthly Financial Reports This record series contains monthly reporting of financial transactions. Includes revenue and expense reports, fund summary, fund summary transaction reports, and reconciliation to these reports. The office of record is Procurement & Payment Services.	ACFY + 3 yrs	ACFY + 1 yr	Recycle	011002	NDUS
Surplus Property Disposal This record series contains records of sales or disposal of surplus property owned by the University. Includes valuations, bills of sale, and receipts. The office of record is Central Receiving.	ACFY + 10 yrs	ACFY + 1 yr	Recycle	011204	UND

General

Bond Issue Books This series contains those records related to bonds issued, including all legal documents regarding the bond issue. It also provides a historical record of the transactions. The office of record is the VPFO.	LB (Life of Bond) + 6 yrs	ACFY + 3 yrs	Archives	011001	NDUS
Paid Bonds & Coupons This series contains paid bonds and coupons. The office of record is the VPFO.	LB (Life of Bond) + 6 yrs	ACFY + 1 yr	Shred	011004	NDUS

Accreditation

Accreditation Records This record series contains information that documents the process and status of the accreditation of the University itself, and individual colleges, schools, departments, and programs. Included are self study records, response letters, letter of reaccreditation, lists of accredited UND schools, revisions, etc. The office of record is Academic Affairs.	Current Period + 1 yr	ACFY + 1 yr	Archive	020701	UND
Program Evaluations This record series contains evaluations of each undergraduate and graduate academic program. The office of record is the Associate Provost for the undergraduate programs and the Graduate School for the graduate programs.	Current Period + Previous Period	ACFY + 1 yr	Archive	020702	NDUS
Supporting Documents This record series contains documents supporting the process and status of becoming accredited and/or activities associated with confirming the accreditation status of the school. Not intended for permanent retention. The office of record is the originating department.	Current Period + 1 yr	ACFY + 1 yr	Shred	020704	UND

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Administrative					
<u>General</u>					
Annual Reports					
This record series contains a summary of departmental, University, or division activities by year. The office of record is the originating department.	ACFY + 6 yrs	ACFY + 1 yr	Archives	900206	NDUS
Bylaws					
This record series contains bylaws for committees. The office of record is the chair, the secretary/recorder for the committee, or the department.	UD + 3 yrs	UD	Archives	220313	NDUS
Calendar Books					
This record series contains records documenting the official work schedules and appointment books kept by university personnel. The office of record is the originating department.	CY + 2 yrs	1 month	Recycle	600702	NDUS
Children File					
This record series contains all information regarding children who receive childcare services at the University Children's Center at the University of North Dakota. This includes registration, billing information, medication instructions, classroom observations, progress reports, and all parental communication. Active ceases upon the departure of the child. The office of record is the UND Children's Center.	WA + 7 yrs	WA + 7 yrs	Shred	800211	UND
Departmental Files					
This record series contains information on each of the different departments on campus, including graduate and undergraduate programs. It includes information on history, documentation on restructuring, trends and other statistics, enrollment numbers, academic program information etc. It does not include organizational charts or financial information. Active ceases when the information is no longer utilized. The office of record is the originating department.	WA + 3 yrs	WA + 3 yrs	Archives	800101	NDUS
Directives / Policies / Procedures / Guidelines					
This record series contains all college/university policies, procedures and guidelines. The office of record is the originating department.	UD + 3 yrs	UD	Archives	650501	NDUS
Events					
This record series contains information on events that are planned by a department, such as graduation, homecoming, recognition ceremony for staff personnel, show records from the Chester Fritz auditorium, etc. The office of record is the originating department.	ACFY + 6 yrs	ACFY + 3 yrs	Archives	800324	NDUS
Faculty Guidelines and Policies					
This record series contains a record of established policies, procedures, and guidelines concerning the faculty. Active ceases when the guidelines or policies have been superseded. The office of record is the originating department.	WA + 3 yrs	WA	Archives	650503	UND

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Fair Cards This record series contains information on students who have visited job or career fairs. The office of record is the originating department.	ACFY + 1 yr	ACFY	Recycle	020502	NDUS
Fee Development Records This record series includes any information regarding the development and approval of any fee that affects student's tuition/fees or faculty/staff fees. Fees such as Course Fees, Program Fees, Processing Fees, Parking Fees, etc. It may include the fee request form, backup documentation, letter to the President asking for approval, letter to the department with the final decision, and any correspondence. Active ceases when the fee is terminated or superseded. The office of record is originating department.	WA + 6 yrs	WA	Recycle	800208	NDUS
Identification Card Information This record series contains applications from anyone applying for a university issued ID card. This includes faculty, staff, and students. The office of record is One-Stop Student Services.	ACFY + 6 yrs	ACFY + 1 yr	Shredder	750202	NDUS
Identification Card Logs / Faulty or Inaccurate Cards This record series contains the log book for faulty or inaccurate identification cards. There is no transfer of money. The office of record is One-Stop Student Services.	ACFY + 1 yr	ACFY + 1 yr	Shredder	750202	UND
Indirect Cost Study This record series contains information documenting the indirect cost rate that is negotiated with the federal government. The office of record is the Budget Office.	AT (After Termination) + 6 yrs	AT (After Termination)	Recycle	900107	NDUS
Instructional Development Funding Requests This record series contains information on who and for what reason faculty request funding for instructional development. The office of record is Instructional Development.	ACFY + 5 yrs	ACFY	Recycle	020202	NDUS
Internal Proposals (Unrestricted) This record series documents the review of all internal proposals. This includes, but is not limited to, SSAC funding, Faculty Research Seed Money, and RDC funding. For compliance committee use 800326. For external proposals use 800903 and 800902. This record may contain actual proposal, supporting documentation, and related correspondence for both approved and denied applications. Active ceases with the completion of the research or the termination of approval process. The office of record is the Office of the Vice President for Research & Economic Development.	WA + 6 yrs	WA	Shred	300107	UND
Mailing List This record series contains a record of addresses for information requests and mailing purposes. This record series includes mailing lists, related documentation, and correspondence. The office of record is originating department.	UD	UD	Recycle	720301	UND
Organizational Charts This record series contains a graphical display of the organizational structure of the University. The office of record is the originating department.	UD + 3 yrs	UD	Archives	650301	NDUS
Outside Income Reporting Letters This record series contains information provided to the president disclosing extra income received by coaches from other sources for services rendered. The office of record is the Office of the President.	ACFY + 3 yrs	ACFY	Recycle	850101	UND

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Professional Organizations This record series contains various information from professional organizations to which an employee may belong. Generally for reference purposes. The office of record is the person belonging to the organization.	WA	WA	Recycle	140109	NDUS
Projects This record series contains information documenting the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence. For surveys or questionnaires that a department completes and retains a reference copy, create a record under the survey record series. Active ceases with the completion of the project. The office of record is the originating department.	WA + 3 yrs	WA + 3 yrs	Archives	810101	UND
Service/ Printing Requests This record series contains information furnished in order for printing centers or Desktop Solutions to carry out a printing job. This may include samples of the job, correspondence etc. This does not include billing information. The office of record is the creating department.	ACFY + 3 yrs	ACFY + 1 yr	Recycle	800325	NDUS
Student Guidelines & Policies This record series contains a record of established policies, procedures, and guidelines concerning students. Active ceases when the guidelines or policies have been superseded. The office of record is the originating department.	WA + 3 yrs	WA	Archives	650505	UND
Reports/Plans This record series contains adhoc reports, progress reports, final reports, strategic plans, disaster plans , etc. For departmental annual reports, use Annual Reports record series (900206). The office of record is the originating department.	AFRS (After Final Report Submitted) + 3 yrs	AFRS	Archives	900207	NDUS
Retreats / Workshops / Seminars / Conferences This record series contains documents pertaining to the organization and planning of a retreat, workshop, seminar or conference. This includes Girl's State, athletic camps, and clinics, Children's Center's program reports, etc. The office of record is the hosting department.	ACFY + 6 yrs	ACFY + 3 yrs	Archives	350501	NDUS
Surveys This record series contains information on internal surveys and supporting documentation. Survey results or final reports derived from surveys shall adhere to RCN 900207 Reports/Plans. The office of record is the originating department.	AFRS (After Final Report Submitted)	AFRS (After Final Report Submitted)	Recycle/ Shred	900108	NDUS
Telephone Log This record series contains a listing of telephone calls made by University personnel and residents. Logs include individual date, time, caller, originating telephone number, recipient telephone number and length of call. The office of record is Telecommunications and the originating department.	ACFY + 3 yrs	ACFY + 1 yr	Recycle	430302	NDUS
Tribal Files This record series contains information on the different Native American Tribes in North America and the Tribal Universities. This includes correspondence, and copies of articulation agreements. The office of record is American Indian Studies.	ACFY + 5 yrs	ACFY + 3 yrs	Archives	800313	UND
Travel Records This record series contains general information concerning any travel arrangements for personnel. Financial records are included in accounts payable. The office of record is the originating department.	ACFY + 3 yrs	ACFY + 1 yr	Shred	850301	NDUS

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<p>Wellness Waiver</p> <p>This record series contains completed liability waiver forms that are signed by participants in Wellness Center events, and/or who use Wellness Center equipment and facilities. It would include the general liability waiver form, plus versions of that form which are for specific events, activities, and participants. Each participant is required to sign a waiver form at the beginning of each academic year. The office of record is the Wellness Center.</p>	UMR (Until Maturity Reached) + 6 years	WA	Recycle	300301	UND
<u>Property / Facilities</u>					
<p>Building Access Records</p> <p>This record series contains documentation of requests for keys, electronic door access and/or card access. Documentation can include requisition, inventory and discontinuation of the access device. Active ceases when the card has been deactivated, the key has been turned in to the lock shop or the locks have been changed for any unaccountable keys. The office of record is Facilities.</p>	WA + 3 yrs	CFY + 1 yr	Shred	750201	NDUS
<p>Building/Construction/Plant Improvement</p> <p>This record series contains information on the university's buildings. This may include construction, contracts, change orders, architecture plans, additions, plant improvements and correspondence. The office of record is VPFO, Safety, and Facilities.</p>	LOB (Life of Building) + 3 yrs	ACFY + 6 yrs	Archives	800703	NDUS
<p>Engineering Design Records</p> <p>This record series contains drawings, blueprints, specifications, standards and other technical data. Active ceases with disposition of property. The office of record is Facilities or Safety.</p>	WA + 3 yrs	CFY	Archives	800704	NDUS
<p>Environmental Regulations Records</p> <p>This record series contains documentation that is required to be kept by environmental regulatory agencies, such as the Environmental Protection Agency (EPA) or the North Dakota State Health Department, This includes, but is not limited to, Air Pollution Control Title V Permit to Operate, quarterly, semi-annual, and annual reports and other related supporting documentation or correspondence under Title V of the Clean Air Act. The office of record is Facilities.</p>	ACFY + 10 yrs	ACFY + 5 yrs	Recycle	750401	NDUS
<p>Equipment Information</p> <p>This record series contains repair reports, maintenance manuals, warranties and licenses. The office of record is the department owning the equipment.</p>	LOE (Life of Equipment) + 6 yrs	WA	Recycle	430101	NDUS
<p>Inventories / Major Equipment</p> <p>This record series contains property inventories major equipment owned by the university. The office of record is Procurement & Payment Services.</p>	ACFY + 10 yrs	ACFY + 3 yrs	Recycle	011201	NDUS
<p>Inventories / Minor Equipment and Supplies</p> <p>This record series contains inventories of minor equipment and supplies owned by the university. The office of record is Procurement & Payment Services.</p>	ACFY + 3 yrs	ACFY + 1 yr	Recycle	011202	NDUS
<p>Inventories / Stores</p> <p>This record series contains information on inventories held by University stores, such as dining services, aviation, facilities, etc. The office of record is the department holding the inventory.</p>	ACFY + 10 yrs	ACFY + 1 yr	Recycle	011203	NDUS

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Log Books This record series contains information on the times and usage of university owned equipment as well as access to computer secured areas and also may include shuttle bus records. The office of record is the originating department.	ACFY + 3 yrs	ACFY + 1 yr	Recycle	430301	NDUS
Maintenance Records This record series contains information on maintenance performed on equipment owned by the university. This series may include documentation on hours worked, copies of repair records and other related documentation. The office of record is the department responsible for the equipment.	UD	UD	Recycle	430401	UND
Project Requests This record series contains a record of work requested which usually involves changes for work completed. Transfer of money is involved. (Otherwise, see Work Orders.) The office of record is the department providing the service.	ACFY + 3 yrs	ACFY + 1 yr	Recycle	800703	UND
Software Inventory This record series contains inventories of software that is installed on university computers. This includes inventory reports generated by University Information Technology and department inventory records. The office of record is the department responsible for the computer.	WA + 6 yrs	ACFY +1 yr	Recycle	011209	UND
Software Licenses This record series contains documents regarding the purchase of software and the software license agreements. The office of records is University Information Technology or department purchasing the license.	AE (After Expired) + 6 yrs	AE (After Expired) + 6 yrs	Recycle	430801	NDUS
Space Reports This record series contains information related to the allocation of physical space. The office of record is Facilities or the originating department.	ACFY + 3 yrs	ACFY + 1 yr	Archives	900208	NDUS
Work Orders This record series contains a record of requests to plant services or for repair and/or maintenance of facility and/or property. No money transfer is involved. The office of record is the originating department.	ACFY + 3 yrs	ACFY + 1 yr	Recycle	430501	UND

Records Management

Disposition Records This record series contains documentation of records disposed of in accordance with the Records Retention Schedule and the Records Management Program. Records may include, but are not limited to, Records Disposal Request forms, Records Disposal Authorization and Certificate of Disposal form, and computer-generated disposal listings. The office of record is Records Management or the School of Health Sciences Records and Information Management Program.	ACFY + 6 yrs	ACFY + 1 yr	Recycle	650401	NDUS
Records Inventory This record series contains documentation on the types of records located in University departments/offices. Active ceases when the inventory has been superseded. The office of record is Records Management.	UD	UD	Recycle	650402	NDUS
Records Retention Schedule This record series contains a listing of the types of records maintained by the university and the period of time after which destruction is authorized. The office of record is Records Management.	UD + 3 yrs	UD	Recycle	650403	NDUS

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Athletics					
Athletic Aid Eligibility This record series contains record of verification by intercollegiate athletics of student athletes' academic progress to the NCAA. These records include computer generated academic progress reports. The office of record is Athletics.	UD + 3 yrs	UD	Shred	801101	NDUS
Athletic Compliance This record series contains information collected to satisfy NCAA requirements. This may include eligibility, housing releases, and drug tests of students. The office of record is Athletics.	ACFY + 6 yrs	ACFY	Shred	801102	NDUS
Championship Competition Reports. This record series contains a listing of all the activities the teams do while attending a championship tournament. This is used for reporting to the NCAA. The office of record is Athletics.	ACFY + 3 yrs	ACFY	Recycle	900209	NDUS
Competition / Trip Records This record series contains a summary record of individual games and competitions. This may include sport name, opponent name, date, event location, final score, player names and positions, and time played per athlete etc. The office of record is Athletics.	ACFY + 1 yr	ACFY	Recycle	801103	UND
Gender Equity Reports This record series documents the progress made by gender equity in sports over the years. The office of record is Athletics.	UD + 3 yrs	UD	Archives	900210	NDUS
Sports Information This record series contains information on the current and past athletes who have competed for UND. This may include pictures, press releases, newspaper articles, and other related documentation. The office of record is Athletics.	UD	UD	Archives	020409	UND

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Aviation					
<u>General</u>					
Aircraft Dispatch Forms This records series includes flight dispatch information. These forms include pilot, aircraft and other information related to a flight. The office of record is Aviation.	45 Days	45 Days	Shred	800336	UND
Aircraft Pilot Logs This record series contains information inside the aircraft used to record who has flown the aircraft and the hours flown by each. The office of record is Aviation.	CY + 3 yrs	CY	Recycle	430304	UND
FAA Correspondence This record series contains correspondence to the FFA. It may include information about applications, acceptances, regulations, and extensions. The office of record is Aviation.	UD	UD	Recycle	050201	UND
Flight Instructor Records This record series contains flight information for instructors that teach at UND. The office of record is Aviation.	WA + 3 yrs	WA	Shred	850601	UND
Flight Record Correction Sheets This record series contains the Records Correction Sheets and related documents that are required to be completed before a correction can be made in a student's flight record. The corrections can be made to any of the information loaded into a student's record while the lesson was being tasked. The office of record is Aviation.	ACFY + 10 yrs	ACFY + 1 yr	Shred	800328	UND
Flight Student Program (Non-US Citizens) This records series contains information required to document the flight training eligibility of non-US citizens. This may include personal data, photographs, Transportation Security Administration (TSA) approvals, TSA required fees, pilot certificates, copies of passports and/or visas and additional information. The office of record is Aviation.	ACFY + 6 yrs	ACFY + 6 yrs	Shred	800337	UND
Fuel Tax Refunds This record series contains the invoices and reports about fuel that is used. These are sent to obtain tax refunds from the government. The office of record is Aviation.	ACFY + 6 yrs	ACFY	Recycle	012204	UND
Ramp Badge Applications This record series contains applications for ramp badges issued to UND employees and students. The ramp badges provide access to secure locations at the Grand Forks International Airport. Active ceases with revocation of final ramp badge. The office of record is Aviation.	WA + 1 yr	WA + 1 yr	Shred	750213	UND
Ramp Badge Audit This record series contains the documentation and results of Transportation Security Administration (TSA) required ramp badge audits. The audits included in this record series may be conducted on an annual or biannual basis. The office of record is Aviation.	ACFY + 1 yr	ACFY + 1 yr	Shred	750303	UND
Random Drug Testing This series contains information regarding students and staff who have had random drug testing done. This is non-DOT testing. The office of record is Aviation.	5 Years	5 Years	Shred	601505	UND

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<u>Maintenance</u>					
Maintenance This record series contains documentation pertaining to the maintenance of UND aircraft. This may include parts and labor documentation, work orders, and parts logs. Original Records to new owner, duplicates to Recycle. The office of record is Aviation.	LOA (Life of Aircraft) + 2 yrs	LOA	See Description	430402	UND
<u>Students</u>					
Certificates Issued Book This record series contains a listing of students and their most current aircraft rating. The office of record is Aviation.	ACFY + 3 yrs	ACFY + 3 yrs	Shred	020419	UND
Student Enrollment List This record series contains a monthly roster of students enrolled in a flight course. It contains information on the location of the course and which course was attended by a specific student. The office of record is Aviation.	ACFY + 3 yrs	ACFY + 3 yrs	Shred	020611	UND
<u>Training</u>					
Maintenance This record series contains certification and training documentation for the maintenance department employees. The office of record is Aviation.	WA + 3 yrs	WA	Recycle	600606	UND
Security Awareness Training This record series contains Transportation Security Administration (TSA) required security awareness training documentation issued to employees. Documentation must be issued to an employee when they receive initial training and each time they receive recurrent security training. Active ceases with termination of employment. The office of record is Aviation.	WA + 1 yr	WA + 1 yr	Shred	350103	UND
Signatory Training This record series contains Transportation Security Administration (TSA) required signatory training documentation. Authorized signatory training is required for individuals authorized to sponsor and request airport identification media. The office of record is Aviation.	ACFY + 1 yr	ACFY + 1 yr	Shred	350104	UND
Student This record series contains information on flights and training completed by the student pilots. The office of record is Aviation.	WA + 5 yrs	WA	Shred	020420	UND

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Budget					
Budget	This record series contains the approved annual and/or biennial budget and other schedules used for budget monitoring. The office of record is the Budget Office.	ACFY + 6 yrs	ACFY + 3 yrs	Archives	010405 NDUS
Proposed Budget / Working Papers	This record series contains documentation created during preparation and submittal of the annual/biennial budget process. The office of record is the Budget Office and/or the originating department.	ACFY + 6 yrs	ACFY + 3 yrs	Recycle	010406 NDUS
Committees / Councils / Dept. Meetings					
Agendas & Minutes	This record series contains agendas, minutes, notes, and reports that record the actions and transactions taken by university departments, divisions, committees, councils, and similar groups. The office of record is the chair, secretary/recorder or department.	ACFY + 6 yrs	ACFY + 1 yr	Archives	220110 NDUS
Executive Session	This record series contains records that are used within the scope of an executive session. This includes mandatory recordings of the executive session. The office of record is originator of executive session.	6 months	6 months	Shred/Delete	220111 NDUS
Research Proposals	This record series contains information that documents the review of research proposals that go before university compliance committees. This may include, but not limited to, those research proposals that go before the Institutional Review Board (IRB) or the Institutional Biosafety Committee (IBC). Records may include the actual proposal submitted to the appropriate committee, human subject review forms, sample surveys or questionnaires, recombinant DNA research forms, and other related correspondence. Active ceases with the completion of the research or the termination of approval. The office of record is the Office of the Vice President for Research & Economic Development	WA + 3 yrs	WA + 3 yrs	Shred	800326 UND
Search Committee Records	This record series contains a record of committee actions to publicize a position, responses from candidates, offers made, or commitments to hire. Includes correspondence, candidate evaluations, vitae, notes, etc. Records from searches for Presidents, Provosts, Vice Presidents, Deans, and Directors go to University Archives. The office of record is chair, secretary/recorder or department.	ACFY + 3 yrs	ACFY + 1 yr	Shred	600204 NDUS
Student Performance / Academic Standards Committees	This record series contains minutes for the Student Performance and Recognition Committee and the Academic Standards Committee. These committees deal with student awards and grievances. Active ceases when issue has been resolved. The office of record is chair, secretary/recorder or department.	WA + 6 yrs	WA + 6 yrs	Shred	220314 NDUS

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Communications					
Audio/Visual Presentations This record series contains photographic proofs and negatives of college or University activities, and presentations for internal and/or external presentation. Active ceases when the presentaion is no longer useful. The office of record is the originating department.	WA	WA	Archives	260701	NDUS
Daily Operation Logs This record series contains documentation of the daily operations of the Radio station. This may include transmitter readings, tower light checks, and emergency alert tests. The office of record is originating department.	CY + 2 yrs	CY	Recycle	430303	UND
Fund Drive Records This record series contains a list of members and their pledged amount as well as planning information for the fund drive. The office of record is originating department.	CY + 5 yrs	CY	Recycle	800205	UND
Newsletters/Publications This record series contains information on specific events, summary of events, current happenings, etc. The office of record is the originating department.	UD	UD	Archives	260403	NDUS
Public Relations Materials This record series contains press releases, newspaper clippings, promotional materials, brochures, bulletins, and other related items for college/university publicity. The office of record is the originating department.	UD	UD	Archives	260102	NDUS
Scripts This record series contains scripts written for university sponsored programming. Active ceases when the records are no longer useful. The office of record is the originating department.	WA	WA	Archives	260702	UND
Contributors/Alumni					
Financial Reports This record series contains various reports received from the Alumni office. This record series may include the donor gift reports and the monthly reports. The office of record is the originating department.	ACFY + 3 yrs	ACFY + 1 yr	Recycle	011009	UND
Fund-Raising Records This record series contains information that documents efforts to raise money and other contributions through contact with alumni and other contributors. This record series may include requests for fund-raising; approvals and priorities; solicitations; and related documentation, reports and correspondence. Active ceases with the completion of the fund-raising campaign. The office of record is the originating department.	WA + 3 yrs	WA + 3 yrs	Archives	011006	NDUS
Gifts/Donations This record series contains the documentation of tangible and intangible donations given to the university. It includes information that documents potential or realized private or corporate funding. This record series may include certificates of gifts, donor records, letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates, and related documentation, reports and correspondence. The office of record is the receiving department. *Retain in the office while active, then send to the University Archives.	PERM	ACFY + 1 yr	Retain*	011007	NDUS

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<p>Correspondence</p> <p>Administrative Correspondence This record series contains documents sent or received intra-office, intra-campus, or with external organizations or individuals that contain significant information. The information may be used for fiscal or administrative purposes. The office of record is the originating department or for external correspondence the office of record is the receiving office.</p>	ACFY + 3 yrs	ACFY + 1 yr	Recycle	450103	NDUS
<p>Executive Correspondence This record series contains information sent or received intra-office, intra-campus, or with external organizations or individuals that documents significant events and the development of administrative structure for the university. It may also include the historical development of an office/department. This type of correspondence may include, but is not limited to, letters; memoranda; or acknowledgements sent or received. The office of record is the originating department or for external correspondence the office of record is the receiving office.</p>	ACFY + 6 yrs	ACFY + 3 yrs	Archives	450104	NDUS
<p>General Correspondence This record series contains documents sent or received intra-office, intra-campus, or with external organizations or individuals that pertain to any communications that does not contain any significant information. The correspondence is general in routing or nature. The office of record is the originating department or for external correspondence the office of record is the receiving office.</p>	ACFY + 1 yr	ACFY	Recycle	450105	NDUS

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Curriculum					
Academic Administrative Records					
This record series contains information that documents the daily administrative responsibilities of colleges, departments, or schools concerning their respective academic programs. This includes graduate, undergraduate, and continuing education courses for university credit. This series includes rosters/class lists, course files, enrollment statistics, registration reports, degree/graduation lists and registration forms, and other related documents. The office of record is the Office of the Registrar.	ACFY + 5 yrs	ACFY + 1 yr	Archives	020203	NDUS
Articulation Agreements					
This record series contains information on agreements between UND and other universities for the transfer of course credit from other colleges. The office of record is the Office of the Registrar.	UD + 3 yrs	UD	Archives	020209	NDUS
Class Scheduling Records					
This record series contains documentation of the development of class schedules by academic departments for inclusion in the final time schedule of classes. This includes IVN classes. The office of record is Office of the Registrar.	ACFY + 3 yrs	ACFY + 1 yr	Recycle	020208	NDUS
Course Lecture Notes/Handouts/Master Copy of Exams					
This record series contains faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials. The office of record is the course instructor.	UD	UD	Recycle	020205	UND
Educational Catalog Records					
This record series contains a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogs includes academic policies and procedures, program names and descriptions, course names and descriptions, credits offered per course, and related programs and course information. This series may include copies of undergraduate, graduate, and summer catalogs, and the time schedule of classes. The office of record is the Office of the Registrar and the School of Medicine & Health Sciences.	UD	UD	Archives	020205	NDUS
Patient Records for Teaching Purposes					
This record series contains a partial copy of patient medical records used for teaching purposes. The office of record Medical Education IPC.	ACFY + 1 yr	ACFY + 1 yr	Shred	020204	UND

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<p>Program and Course Request Records</p> <p>This record series contains information that documents the requested approval, and the implementation of undergraduate, graduate, professional degree programs, Continuing Education Programs, and any other reorganizations or changes to established programs. This may include curriculum action documentation, working papers, final reports, related course descriptions, outlines, syllabi, sample examinations, text book lists, etc. The office of record is the Office of the Registrar, Continuing Education, School of Medicine & Health Sciences, and the School of Law.</p>	UD	UD	Archives	020206	NDUS
<p>Student Evaluations of Course and Instructor</p> <p>This record series contains a summary report of the evaluations done on advisors, instructors, and courses, including all numerical and narrative responses from individual evaluations. Following the delivery of the summary report, the raw data has no retention value and can be destroyed in accordance with the individual institution's procedure. Departmental office may maintain a copy of the instructor evaluation summaries in the faculty personnel file.</p>	ACFY + 10 yrs	ACFY + 1 yr	Recycle	020207	NDUS
<p>Textbook Order Records</p> <p>This record series contains information that documents what books were ordered for the various courses taught in the department. The office of record is the originating department.</p>	ACFY + 2 yrs	ACFY + 1 yr	Recycle	801201	NDUS

Grants and Contracts

Grants

<p>Chart of Accounts</p> <p>This record series contains a summary of all existing grants. The office of record is Grants and Contracts.</p>	ACFY + 10 yrs	ACFY	Recycle	800901	UND
<p>Grants / Contracts</p> <p>This record series contains grants or contracts that have been awarded for which the university provided research, instruction or other services to a sponsor or third party. This may include award letter/notice, proposal, correspondence, equipment inventory (final), final report, etc., This record series may also contain fellowships. The office of record is Grants and Contracts.</p>	AFRS (After Final Report Submitted) + 6 yrs	AFRS	Shred	800905	NDUS
<p>Grant and Contract Funding Opportunity</p> <p>This record series contains general information on grants and contract funding opportunities. May include funding opportunities and fellowship information. Active ceases when the administrative value is lost or no longer current. The office of record is the originating department.</p>	WA	WA	Recycle	720103	UND
<p>Grant Proposals</p> <p>This record series contains grants, contracts, and fellowships that have been applied for, but not approved. Until the University receives notice on whether the proposals have been awarded or not awarded. For those proposals that are awarded, transfer to the Grants/Contracts (800902) record series. For those proposals that are not awarded, they will be returned to the Principal Investigator (PI) or the originating department and that party will then become the office of record and must retain until the retention requirement has been fulfilled. The office of record is the Office of the Vice President for Research & Economic Development.</p>	ACFY + 3 yrs	ACFY + 1 yr	Shred	800903	UND

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Reports					
Effort Reporting This record series contains information on the distribution of effort for employees paid by grant funding. The office of record is Grants and Contracts.	ACFY + 10 yrs	ACFY	Shred	800902	NDUS
Financial Summary Reports This record series contains a record of monthly grant financial transactions. Ex.) Principal Investigator summary reports, and detailed transaction reports, etc. The office of record is Grants and Contracts.	ACFY + 10 yrs	ACFY + 1 yr	Recycle	800906	NDUS
Financial Interest Disclosure This record series contains the form completed by the principal investigator and key personnel that discloses financial interest that may result in a conflict of interest. The office of record is the Dean's offices or Department Head.	ACFY + 10 yrs	ACFY	Recycle	800906	UND
Grant Reports This record series contains information reported on various grants and the status of each. This includes lobbying certification disclosure reports and presidential reports. The office of record is the Office of the Vice President for Research & Economic Development.	ACFY + 3 yrs	ACFY	Recycle	800904	NDUS
Technical Reports This record series contains technical/progress reports submitted to sponsoring agencies and publications. This includes any support documentation that a grant or contract has been fulfilled. The office of record is the originating department.	ACFY + 10 yrs	ACFY	Recycle	800901	NDUS

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Human Resources					
<u>Faculty</u>					
Faculty Personnel Files					
This record series contains information that documents the faculty member's work history. It includes information such as job title, rank and education, employment background, and grant work. This may include copies of a request to recruit, request to appoint, initial vitae, letter of intent, letters of reference, academic records, October Supplements, tenure forms, yearly contracts, listing of grant work, and students' evaluations of course and instructor summary sheets. This includes both academic and clinical faculty. Note: The official personnel file may consist of different information than the department. This includes appointments and contracts, summer session faculty files, and Extension Program Instructor Files. Active ceases with termination of employment. The office of record is Office of the Dean or designee.	WA + 6 yrs	WA + 6 yrs	Archives	600602	UND
Post Doctorates					
This record series contains requests to recruit, request to appoint, and any other information concerning post doctorates. The office of record is the department in which the post doctorate is appointed.	AT (After Termination) + 6 yrs	AT (After Termination) + 6 yrs	Shred	800327	NDUS
<u>General</u>					
Affirmative Action					
This record series contains reports dealing with affirmative action requirements made by the government. The office of record is Affirmative Action.	6 years	6 years	Recycle	180102	NDUS
Annual Employee Notification of Policies					
This record series contains documentation showing acknowledgment, through a signed and returned form, that each university employee was notified of any new policies as well as to serve as a reminder of existing policies. This is an annual notification and acknowledgment process. The office of record is Human Resources.	ACFY + 3 yrs	ACFY	Recycle	601503	NDUS
Applications/Recruitment Records					
This record series contains resumes, applications, letters of recommendation, and interview documentation on applicants screened for jobs at the college/university, including faculty, staff, and post-doctorate positions. The successful applicant's records are then filed with their personnel file. The office of record is Human Resources, Academic Affairs or the hiring department.	ACM (After Selection Made) + 3 yrs	ACM + 1 yr	Shred	600203	NDUS
Credentials					
This record series contains information on current credentials, license and continuing education records. The office of record is the department of employment.	WA + 3 yrs	WA	Recycle	600604	NDUS
Criminal History Record Checks					
This series contains any correspondence and the results of statewide and nationwide criminal history record checks for those agencies authorized to conduct criminal history record checks under North Dakota Century Code 12-60-24. The office of record is the originating department.	ACFY + 3 yrs	ACFY + 3 yrs	Shred	501202	NDGS

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Employee Manual This record series contains the employee policies and procedures manuals for faculty, staff, and student employees. The office of record is the department of employment.	UD	UD	Archives	650101	UND
Immigration - Employment Records This record series contains immigrant and non-immigrant records associated with employment at the university. This may include visas and permanent residency documents. Active ceases with termination of employment or attainment of permanent residency status, whichever occurs first. The office of record is Academic Affairs.	WA + 6 yrs	WA + 6 yrs	Shred	600611	NDUS
Immigration-H-1B personal File Audit This record series contains non-immigrant records associated with the filing of a labor condition application and associated H-1B public access file. (Does not include payroll records). Active ceases with termination or withdrawal of the labor condition application. The office of record is Academic Affairs.	WA + 3 yrs	WA + 1 yr	Shred	601506	UND
Volunteers This record series contains applications, letters of reference, and a list of training with their certificates on the different volunteers that donate their time. Active ceases at the end of volunteer period. The office of record is the office for which the work is done.	WA + 3 yrs	WA	Recycle	601502	NDUS
Staff					
Market Data This record series contains market salaries by position for the college/university. The office of record is Human Resources.	CY + 1 yr	CY	Recycle	601504	NDUS
Position Descriptions This record series contains documentation of position titles and descriptions by position number. Active ceases when the position description is updated or no longer used. The office of record is Human Resources.	WA + 3 yrs	UD	Shred	600608	NDUS
Staff Personnel Files This record series contains non-faculty personnel files which includes routine personnel forms and other employee related records. The records are used to document period of employment, position change, salary, goals, training, and certifications. The office of record is Human Resources.	AT (After Termination) + 6 yrs	AT (After Termination) + 6 yrs	Shred	600606	NDUS
Student					
Job Applications This record series contains applications for student employment. Records included, but not limited to, are applications and related correspondence. If applicant is selected transfer record to Student Employment Records (600605). The office of record is the department employing the student.	ACFY + 3 yrs	ACFY + 1 yr	Shred	600203	UND
Student Employment Records This record series contains resumes, student's class schedule, employment registration forms, and other related correspondence on undergraduate, graduate, and medical student employees. This series documents the student employee's work history and contains records for work-study and institutional student employees. The office of record is the department employing the student.	AT (After Termination) + 6 yrs	AT (After Termination) + 6 yrs	Shred	600605	NDUS

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Insurance					
Disability Insurance Policies This record series contains information regarding employee insurance policies. The office of record is Payroll.	ACM (Expiration of Policy) + 6 yrs	ACM	Recycle	470201	UND
Disability Insurance - Claims This record series contains information regarding employee disability claims. The office of record is Payroll.	ACM (End of Disability) + 6 yrs	ACM	Shred	470301	UND
Liability Insurance This record series contains liability policies. The office of record is Aviation, School of Medicine, and Safety and Environmental Health.	PERM	WA	Shred Retain	470202	UND
Professional Liability Insurance This record series contains information regarding professional liability policies, for physicians and residents, and other relevant information. The office of record is the School of Medicine & Health Sciences.	PERM	WA	Retain	470203	UND
Property Insurance Claims This record series contains information on property insurance, including claims documentation and correspondence. relating to property owned by the university. The office of record is Safety and Environmental Health.	ACM (Date of Incident) + 6 yrs	ACM	Recycle	470304	UND
Property Insurance Policies This record series contains property insurance policies for all insurable property interests. The office of Record is Safety and Environmental Health.	AE (After Expired) + 6 yrs	AE	Recycle	470204	UND

Legal

Agreements

Agreements

This record series contains legal documents, correspondence, reports, etc. relating to negotiation, fulfillment, and termination of agreement to which the University is a party. Internal memos, notes, research and duplicate copies may also be a part of the record series, but shall be shred when the file is closed. Active ceases with termination or expiration of the agreement. The office of record is the requesting department.

WA + 6 yrs WA + 6 yrs Recycle 300103 UND

Liability Waivers

This series contains liability waivers signed by individuals who participate in an activity or program offered by the college or university to acknowledge the risks involved with their participation. This would include registration and personal information on K-12 participants or potential participants of outreach programs planned by an NDUS institution or one of its departments. The office of record is the originating department.

ACFY + 6 yrs ACFY Shred 300301 NDUS

Compliance

Sales Tax Returns

This record series contains information that documents sales tax collection for University services provided to other outside entities. The office of record is the requesting department.

ACFY + 4 yrs ACFY + 4 yrs Recycle 011005 NDUS

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
<u>Contract Administration</u>					
Contracts					
This record series contains legal documents, correspondence, and reports related to the negotiation, fulfillment and termination of a non-capital improvement. May include award letter/notice, proposal, correspondence, final reports, etc., and also may include game, sponsorship, Red Cross, flood and rental contracts. Internal memos, notes, research, and duplicate copies may also be a part of the record series, but shall be shred when the file is closed. This record series may also contain fellowships. Active ceases with termination or expiration of the contract. The office of record is the originating department.	WA + 6 yrs	WA + 6 yrs	Recycle	300104	UND
Leases					
See Purchasing - Leases					
<u>Copyrights</u>					
Copyright Documents					
This record series contains copyright documents belonging to the institution. Includes documentation of registration and submittals to Library of Congress. The office of record is the Corporate Engagement and Commercialization.	95 yrs	WA	Recycle	501401	NDUS
Copyright Records / General					
This record series contains general information on copyright laws, regulations, and any reference material related to copyrights. The office of record is the library.	WA	WA	Recycle	720104	UND
<u>General</u>					
Legal Opinions					
This record series contains documentation from legal counsel detailing facts which result in rules, policy, or administrative procedures. Internal memos, notes, and research may be included. The office of record is requesting department.	UD + 3 yrs	UD	Recycle	500501	NDUS
<u>Litigation / Grievances</u>					
Client Files-Legal Aid					
This record series contains client files held by the Clinical Education Program of UND's Law School. Active ceases when the client engagement is completed. The office of record is the Law School-Clinical Education Program.	WA + 6 yrs	ACFY + 1 yr	Shred	500402	UND
Grievances					
This record series contains information relating to the filing of grievances and records of all proceedings in the settlement of disputes on the campus of faculty, staff, and students. Internal memos, notes, research, FERPA violations, and duplicate copies may also be a part of the record series. Active ceases with the resolution of the grievance. The office of record is the final reviewing authority.	WA + 6 yrs	WA + 6 yrs	Shred	500402	NDUS

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<p>Litigation Files</p> <p>This record series contains records related to threatened or asserted litigation or investigation. This series contains the official litigation file with any orders, pleadings, correspondence, and discovery related to litigation. The duplicate copies may also be part of the record series, but shall be shred when the file is closed. Active ceases with the resolution of the lawsuit. The office of record is the Office of General Counsel.</p>	WA + 6 yrs	WA + 6 yrs	Shred	500401	NDUS
<u>Patents / Trademarks</u>					
<p>Patent/Trademark: Income/Expense/Inventor Share Payments</p> <p>This record series contains financial records indicating patent/trademark income and expenses, the documentation of inventor share payments or distribution of funds, and other related documentation or correspondence. The office of record is Technology Transfer and Communication.</p>	WA + 6 yrs	WA	Recycle	501403	NDUS
<p>Patents & Trademarks</p> <p>This series contains information related to the application process for patents/trademarks. It also includes information related to issued patents/trademarks and related documentation such as patent/trademark searches, evaluations, applications, contract reviews, contract awards, patent agreements, progress reports, and any other related documents and correspondence that provides a means of defense for a patent/trademark. The office of record is originating department.</p>	WA + 6 yrs	WA	Recycle	501402	NDUS

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Library Records					
Archival Collection Records					
This record series contains information that documents the acquisition or transfer of archival materials or information. This series may include information on the collection itself, inventory lists, database reports, payment information, cancellation information and related correspondence and documentation concerning the archival collections. The office of records is the Department of Special Collections.	PERM	WA	Retain	800342	NDUS
Certificate of Gift/Donor Records					
This record series contains information that documents the official donation of a tangible gift given to the university. The office of record is the Chester Fritz Library.	ACFY + 6 yrs	ACFY + 3 yrs	Archives	800210	UND
Circulation Records					
This record series contains information that documents the borrowing of library materials by qualified patrons. This series may include the name of the borrower, the titles of materials borrowed, the due date, overdue information, and related correspondence and documentation. While active means the information shall be retained as long as the material is checked out or if there is an overdue fine placed on the borrowed material. The office of record is the originating library.	WA	WA	Shred	800328	NDUS
Collection Records					
This record series contains information that documents the acquisition or transfer of materials or information (e.g. digital). This series may include information on the collection itself, inventory lists, database reports, payment information, cancellation information and related correspondence and documentation concerning the collections. The office of record is the originating library.	ACFY + 3 yrs	ACFY	Recycle	800329	NDUS
Exhibit Records/Shelf List Records					
This record series contains information that documents the display and use of materials held by the library. This series includes advertisements for the exhibit, layout and design, photographs of the exhibit, exhibit ideas, and related documentation and correspondence about the exhibit. The office of record is the originating library.	ACFY + 3 yrs	ACFY	Recycle	800330	NDUS
Inter-Library Loan Records					
This record series contains information that documents the borrowing/lending inter-library loan process for college/university materials. This series may include requests, borrower/lender approvals, transaction slips, and related correspondence. The office of record is the originating library.	WA	WA	Shred	800331	NDUS

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Patient					
<u>Medical Records</u>					
Drug and Alcohol Evaluations					
This record series contains the drug and alcohol evaluations that may be either court mandated, requested by students for counseling reasons, or for accident reports. This includes the Counseling Center's evaluations. The office of record is the requesting department.	ACFY + 7 yrs	ACFY	Shred	190103	NDUS
Immunization Records					
This record series contains proof of immunization information regarding MMR and TB testing, as required for admission. This series also contains immunization reports from mass immunization clinics, such as meningitis and influenza. The office of record is Student Health.	ACM (after patient is 19 or last treatment date, whichever is later) + 6 yrs	ACM (after patient is 19 or last treatment date, whichever is later) + 6 yrs	Shred	800336	NDUS
Narcotics Inventory					
This record series contains an inventory of all Federally controlled prescriptions. The office of record is Student Health Services.	ACFY + 3 yrs	ACFY	Shred	801103	NDUS
Patient Medical Records					
This record series contains patient medical information. May include diagnosis, treatments, medications, doctor appointments, test results, X-Rays, X-Ray cards, patient histories, and patient charts. ACM is date of treatment, age 19 or last date of enrollment, whichever is longer. The office of record is Student Health Services, School of Medicine & Health Sciences, or the College of Nursing.	ACM + 6 yrs	ACM	Shred	190102	NDUS
Prescriptions					
This record series contains the prescriptions received by the pharmacy. The office of record is Student Health Services.	7 yrs	WA	Shred	800335	NDUS
Student Health Reports					
This record series contains reports generated by student health containing statistical information and trends. This may include information on FAA Flight Physicals and X-Rays done by student health. This also includes the supporting and preparation documents such as the X-Ray ledger and other medical ledgers. The office of record is Student Health Services.	CY + 3 yrs	CY	Shred	900212	NDUS

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Payroll					
Compensation Records					
This record series contains information that documents overtime hours earned for compensation purposes and comp. hours used or requested. Does not include overtime hours paid monetarily on the regular hourly reporting form. The office of record is the originating department.	ACFY + 5 yrs	ACFY + 1 yr	Shred	011606	NDUS
Departmental Leave					
This record series contains a record that summarizes leave status and leave donations for each employee by department. This also includes justification and documentation regarding donation of leave, leave reports, leave donation sheets, employee leave forms, and departmental leave reports. The office of record is the originating department.	ACFY + 3 yrs	ACFY + 1 yr	Shred	600703	NDUS
Employee Payroll Records					
This record series contains information related to payroll information of an individual employee, including but not limited to: employee benefits (i.e. tuition rate reductions, flex benefits, retirement benefits, etc.), deduction forms (i.e. university meal plan deductions, Payroll Deducted Parking), health insurance forms, tax forms (W-2s, W-4s), and other information related to employee payroll (garnishments, federal wage levies, notices from collection agencies, child support, court documents, etc.). This also includes notices of appointment and one-time pays. The office of record is Payroll.	AT (After Termination) + 10 yrs	ACFY + 1 yr	Shred	011603	NDUS
I-9 Forms					
This record series contains the employee's citizenship and employment eligibility status and may include other supporting documentation. The office of record is Payroll.	ACM (3 years after hire date or 1 year after termination, whichever is longer)	ACM	Shred	600607	NDUS
Payroll Reports					
This record series contains forms and reports dealing with worker's compensation, insurance, labor distribution, and similar reports and deductions. This also includes Payroll reconciliation reports, abstracts, banking reports, salary and fringe reports, flex benefits, and TIAA/CREF reporting. These reports are used by the office for administrative purposes only. The office of record is Payroll.	ACFY + 5 yrs	ACFY + 1 yr	Shred	011604	NDUS
Tax Reporting					
This record series contains W-2, W-4, 1098-T, and filings with state and federal tax authorities for social security withholding, worker's compensation, and unemployment. The office of record is Payroll.	13 years	WA	Shred	011605	NDUS
Time Reporting					
This record series contains a record of hours worked. This includes hourly payroll reporting forms, time cards, and time slip correction forms. The office of records is Payroll or the department with the original time cards.	ACFY + 10 yrs	ACFY + 1 yr	Shred	600704	NDUS

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Police / Traffic					
Adult Citation Files This record series contains information on all infractions by adults cited by the police department. The office of record is University Police.	ACM (10 years after expiration of sentence or 5 years after case is closed)	ACM	Shred	800332	NDUS
Adult Complaint Files This record series contains information on all complaints filed at the Police department including investigative and evidence information. The office of record is University Police.	ACM (10 years after expiration of sentence or 5 years after case is closed)	ACM	Shred	800333	NDUS
Juvenile Files This record series contains complaints which contain juvenile subjects and citation files in which the person cited was a juvenile. The office of record is University Police.	ACM (Until subject is 20 years old or case is closed, whichever is longer)	ACM	Shred	800334	NDUS
Police/Incident Reports This record series contains incident reports written by University police. The office of record is University Police.	ACC (After Case Closed) + 7 yrs	ACC	Recycle	900211	NDUS
Traffic / General This record series contains information on vehicles registered for any faculty, staff, or student parking on the campus of UND. This includes any parking tickets received and any tickets appealed. The office of record is Parking & Transportation.	CY + 1 yr	CY	Recycle	750207	UND
Traffic / Reports This record series contains reports pertaining to the traffic division of UND. This series includes parking meter reports. The office of record is Parking & Transportation.	CY + 3 yrs	CY	Recycle	750208	UND

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Professional Development					
Continuing Education Units This record series contains information on the different courses approved by Continuing Education. This may include applications, rosters, setup and approval forms, and a description of the CEU activities. The office of record is Continuing Education.	ACFY + 3 yrs	ACFY + 3 yrs	Shred	020201	NDUS
Continuing Medical Education (CME's) This record series contains information on the various professional development courses offered by the School of Medicine & Health Sciences. This includes attendance lists, general curriculum information, copies of billing information, and general information on the class. Requests for CME credits and verification. The office of record is the department the class or seminar is run through.	ACFY + 6 yrs	ACFY + 6 yrs	Shred	020212	UND
Non Credit Correspondence Courses This record series contains information on the different non credit courses approved by Continuing Education. This may include applications, grades, and other information on student taking the courses. The office of record is Continuing Education.	ACFY + 3 yrs	ACFY + 3 yrs	Shred	020421	UND
Training Files-Third Party This record series contains on the various professional development courses offered to the surrounding area. This includes attendance lists, general curriculum information, copies of billing information, and general information on the class. Active ceases when the files are no longer useful. The office of record is Workforce Development.	WA + 5 yrs	WA	Recycle	020211	UND
Training - Professional Development This record series contains information on the various professional development courses offered by the university specifically for university staff and faculty. This includes sign up and completion lists and general information on the class. This does not include transcripts. The office of record is the department the class is run through.	ACFY + 3 yrs	ACFY	Recycle	350101	NDUS
Transcripts This record series contains transcripts created by Continuing Education documenting the completion of professional development classes overseen by the Continuing Education Department. These are not for university credit. The office of record is Continuing Education.	PERM	WA	Retain	020418	NDUS

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Purchasing					
<u>General</u>					
Bids					
This record series contains requests for proposals and documentation related to bids submitted for prospective goods and services, including prime contracts. The office of record is Procurement & Payment Services.	ACFY + 10 yrs	ACFY + 1 yr	Shred	300701	NDUS
Leases					
This record series contains legal documents, correspondence, reports, etc. relating to negotiation, fulfillment, and termination of leases. It also includes leases entered into for goods and services. The office of record is Procurement & Payment Services.	AT (After Termination) + 10 yrs	AT (After Termination) + 10 yrs	Recycle	300501	UND
Purchase Orders/Requisitions					
This record series contains records of purchases requested or authorized by university departments. The office of record is Procurement & Payment Services.	ACFY + 10 yrs	ACFY + 1 yr	Shred	011507	NDUS

Reference

Reference Material					
This record series contains information maintained for reference purposes only. Active ceases when the material is no longer useful. The office of record is the originating department.	WA	WA	Recycle	720103	NDUS

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Safety					
<u>General</u>					
Clery Act (Campus Security)					
This record series contains crime logs, campus security reports, registered sex offenders (students, faculty, staff), and other documents relating to the Clery Act. The office of record is Safety.	ACFY + 6 yrs	ACFY + 1 yr	Recycle	750207	NDUS
Designated Medical Provider Forms					
This series contains forms completed by employees designating their choice of medical provider, should a work-related injury occur. Updated occurs when an employee updates their designated medical provider form or upon termination of employment. The office of record is the Safety and Environmental Health Office.	UD + 1 yr	UD	Shred	600610	NDUS
Employee Exposure File					
This series contains records and reports of employee exposure to hazardous materials, chemicals or harmful physical agents. Includes incident reports, investigation files, medical surveillance, treatment and related records. The office of record is Safety.	AT (After Termination) + 30 yrs	AT	Shred	750106	NDUS
General Safety Information					
This record series contains information related to safety issues. The office of record is Safety.	ACFY + 3 yrs	ACFY	Recycle	750402	NDUS
Hazardous Waste Forms					
This record series contains documents the request to pick up and/or dispose of hazardous waste. It also tracks the movement of chemicals and wastes coming into and going out of the university. The office of record is Safety.	PERM	3 yrs	Retain	750402	UND
Incident Reports - Employees					
This series contains records and reports of accidents or incidents incurred by an employee of the college/university, as well as any follow-up investigation documentation. This does not include formal claims made against the college/university. If formal claim is made, transfer records to the Workers Compensation Claim Files. The office of record is the Safety and Environmental Health Office.	3 yrs	3 yrs	Shred	750107	NDUS
Incident Reports - Non-Employees					
This record series contains reports of any accidents or incidents incurred by non-employees or visitors, as well as any follow-up investigation documentation. This does not include formal claims made against the college/university. If a formal claim is made, transfer records to the Litigation Files. The office of record is Risk Management.	3 yrs	ACFY + 1 yr	Shred	750108	NDUS
Material Safety Data Sheets (MSDS)					
This record series contains information and safe handling procedures for toxic and/or hazardous chemicals. Superseded MSDS sheets may be recycled if the changes to the MSDS sheets are of administrative in nature and the chemical properties of the substance have not been changed. The office of record is Safety and Environmental Health.	WA + 30 yrs	WA	Recycle	750405	UND
Medical Surveillance Records					
This record series contains documentation on the University's respiratory protection and medical surveillance programs. Active ceases with the termination of employment. The office of record is the Safety and Environmental Health Office.	WA + 30 yrs	WA	Shred	750408	UND

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<p>Preventative Ergonomics Files</p> <p>This record series contains information that documents the assistance given to employees to prevent repetitive musculoskeletal injuries. Records typically include, but are not limited to, ergonomic worksheets; changes made at the time of assessment; recommendations; and other related correspondence. If file becomes a workers compensation claim, transfer to the Workers Compensation Claim File. The office of record is the Safety and Environmental Health Office.</p>	AT (After Termination) + 1 yr	AT (After Termination) + 1 yr	Shred	750405	NDUS
<p>Radioactive Materials Records</p> <p>This record series contains information on radiation and radioactive materials and any research done with them. This includes research files, sealed and open sources of radiation, and disposal files. The office of record is Safety.</p>	ACM (Termination of License)	ACM (Termination of License)	ND Health Dept.	750403	UND
<p>Safety Inspection - Fire Protection</p> <p>This series contains records relating to fire inspections, fire alarms, testing of fire extinguishers, inspection of fire suppression systems and records of fire drills conducted on University grounds or facilities. Includes mitigation records of deficiencies. The office of record is Safety.</p>	CY + 3 yrs	CY + 3 yrs	Recycle	750302	UND
<p>Safety Inspection - Sampling and Hazardous Materials</p> <p>This record series contains information that documents University safety inspections. This series may include inspection records concerning asbestos, environmental regulations, X-Ray registration, and survey meters. The office of record is Safety.</p>	UD	CFY + 1 yr	Recycle	750301	UND
<p>Workers Compensation Claims</p> <p>This series contains information which documents claims made by employees under Workers Compensation Insurance. Records typically include, but are not limited to, a copy of the initial Incident Report, a copy of the Worker's Claim for Injury (Form C-2), the Employer's Report of Injury (Form C-2), the Doctor's Report of Injury (Form C-3), the Prior Injury Questionnaire (Form C-16) when indicated, workability updates, dismissal statement when appropriate, and other related correspondence. Active ceases with the termination of employment or the end of permanent disability, whichever occurs later. The office of record is the Safety and Environmental Health Office. (NOTE: The North Dakota's Workforce Safety and Insurance Department officially manages all Workers Compensation Claim files permanently.)</p>	WA + 4 yrs	CFY + 3 yrs	Shred	470302	NDUS

Training

<p>Employee Training File</p> <p>This series contains records and information relating to, and documenting, safety training and certifications received by an employee of the University. The office of record is Safety.</p>	AT (After Termination) + 30 yrs	AT	Recycle	750406	UND
<p>Training Materials - Safety and Equipment</p> <p>This series contains information and materials on safety and environmental training developed or provided by the college/university. May include course listings, schedules, training program materials, administrative records, sign-in sheets and reference materials. Includes classes for lead, asbestos, hazardous wastes/materials, defensive driving and others. The office of record is Safety or Environmental Training Institute.</p>	UD + 3 yrs	UD	Recycle	350102	NDUS

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School of Medicine & Health Sciences					
Academic Records - Medical Student This record series contains correspondence, applications, transcripts, equivalency diplomas, residency affidavits, withdrawals, for students accepted to the School of Medicine. Active ceases with graduation or last date of attendance. The office of record is the School of Medicine & Health Sciences.	PERM	WA + 6 yrs	Retain	020411	UND
Accreditation Records - School of Medicine and Health Sciences This record series contains information that documents the process and status of becoming accredited and/or activities associated with reporting and/or confirming the accreditation status of the School of Medicine & Health Sciences. Includes self-study records, response letters, letters of re-accreditation, etc. Active ceases when letter of accreditation is received. The office of record is the School of Medicine & Health Sciences.	WA + 8 yrs	ACFY + 1 yr	Archives	020705	UND
Accreditation Supporting Documents-School of Medicine and Health Sciences This record series contains documents supporting the status of becoming accredited and/or activities associated with the confirming the accreditation status of the School of Medicine & Health Sciences. Active ceases when letter of accreditation is received. The office of record is the School of Medicine & Health Sciences.	WA + 8 yrs	ACFY + 1 yr	Shred	020706	UND
Animal Inventory This record series contains records that document daily counts of animals. The office of record is the Center for Biomedical Research. Considered source documents for billing purposes. The office of record is the School of Medicine & Health Sciences.	ACFY + 10 yrs	ACFY + 10 yrs	Recycle	011208	UND
Animal Protocols This record series contains documents related to research projects involving animals. This record series may include title of the project, name of the principal investigator, and funding agency. Animal protocol proposals and proposed significant changes need to be retained for the duration of the animal activity plus an additional 3 years. Denied proposals must be retained for 3 years. Active ceases with the completion of the animal activity. The office of record is the Office of the Vice President for Research & Economic Development.	WA + 3 yrs	WA + 3 yrs	Shred	800327	UND
Annual Reports-School of Medicine and Health Sciences This record series contains a summary of department, university, or division activities by year. The office of record is the School of Medicine & Health Sciences.	ACFY + 10 yrs	ACFY + 1 yr	Archives	900209	UND
Autopsy Case Files This record series contains Death Investigation Worksheet, Autopsy Form, Body and Personal Property Release Form, Morgue Admission Form, Body Diagrams, Request for Autopsy, Toxicology Requests and Reports, Autopsy Reports, Police Reports, Medical Records, Certificate of Death, Identification Photo, Investigation Worksheet/Log, DNA Blood Stain Card Collection Kit, and X-rays. The office of record is the School of Medicine & Health Sciences.	PERM	WA	Retain Confidential	190108	UND
Blood Bank Worksheets This record series contains laboratory blood bank worksheets. The office of record is the School of Medicine & Health Sciences Centers for Family Medicine.	ACFY + 5 yrs	ACFY + 5 yrs	Shred	800332	UND

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<p>Biographical Records</p> <p>This record series contains biographical data for institutional faculty, staff, and other significant people. The records are used for public information releases and referenced by the institutional staff to provide responses to inquiries. This series may include but is not limited to: biographical sketches, vitae, photographs, personal history sheets, newspaper clippings, retirement notices, and obituaries. Active ceases when no longer needed administratively. The office of record is the originating department.</p>	WA + 3 yrs	WA	Archives	260103	UND
<p>Canceled Bequests</p> <p>This record series contains donor bequeathal forms that have been canceled. The office of record is the School of Medicine & Health Sciences.</p>	ACFY + 3 yrs	ACFY + 3 yrs	Shred	020213	UND
<p>Cremains Processed</p> <p>This record series contains correspondence related to the cremation of a donor. The office of record is the School of Medicine & Health Sciences.</p>	ACFY + 6 yrs	ACFY + 6 yrs	Shred	020214	UND
<p>Donor Files</p> <p>This record series contains bequeathal forms and cadaver information for people who have donated their bodies to the School of Medicine & Health Sciences. The office of record is the School of Medicine & Health Sciences.</p>	PERM	PERM	Retain Confidential	020215	UND
<p>Donor Files - Working Copies</p> <p>This series contains working copies of bequeathal forms, cadaver information, and worksheets for donors received in the SMHS Deeded Body Program. The official file is in the DP10-25 Donor File record series. Active ceases at date of cremation. The office of record is the SMHS Deeded Body Program.</p>	WA + 6 yrs	WA + 6 yrs	Shred	800331	UND
<p>Faculty Recruitment</p> <p>This record series contains information on applicants applying or being recruited for a faculty position. This file may include vitae information, letters of recommendation or support, interview documentation, and other related correspondence. If hired, transfer records to Faculty Personnel Files. The office of record is the hiring department.</p>	ACFY + 3 yrs	ACFY + 1 yr	Shred	600207	UND
<p>General Inquiries</p> <p>This record series contains general correspondence/information requested about the Deeded Body Program. The office of record is the School of Medicine & Health Sciences.</p>	ACFY + 3 yrs	ACFY + 3 yrs	Shred	020216	UND
<p>Gifts/Donations-School of Medicine and Health Sciences</p> <p>This record series documents the potential or realized private or corporate funding to the Alumni Association for the benefit of the School of Medicine & Health Sciences. This record series may include award guidelines; letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates; scholarship information; and related documentation, reports, and correspondence. The office of record is the School of Medicine & Health Sciences.</p>	PERM	ACFY + 1 yr	Archives	011012	UND
<p>Health Insurance</p> <p>This record series contains information regarding residents' health insurance. The office of record is the School of Medicine & Health Sciences.</p>	ACFY + 6 yrs	ACFY + 1 yr	Recycle	470102	UND
<p>Interment Services</p> <p>This record series contains the supporting documentation for the interment service. May include the date, time, list of donors to be interred, and all documents related to the planning of this service. The office of record is the School of Medicine & Health Sciences.</p>	ACFY + 6 yrs	ACFY + 6 yrs	Shred	020217	UND

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<p>Internal Reviews for Residency Programs</p> <p>This record series contains documents reviewing the residency programs for accreditation and/or activities associated with confirming the accreditation status of the school. Active ceases when letter of accreditation is received. The office of record is the School of Medicine & Health Sciences.</p>	WA + 8 yrs	ACFY + 1 yr	Shred	020702	UND
<p>Laboratory Logs and Orders</p> <p>This record series contains all patient laboratory logs, laboratory send out logs, and laboratory orders. The office of record is the School of Medicine & Health Sciences Centers for Family Medicine.</p>	ACFY + 2 yrs	ACFY + 2 yrs	Shred	800333	UND
<p>Laboratory Quality Assurance Records</p> <p>This record series contains quality assurance records for the laboratory. This may include quality control results and printouts for all laboratory and proficiency testing. The office of record is the School of Medicine & Health Sciences Centers for Family Medicine.</p>	ACFY + 2 yrs	ACFY + 2 yrs	Shred	800334	UND
<p>Medical Student Admission Applications</p> <p>This record series contains applications from prospective medical students, correspondence with applicants, working papers, and any other materials concerning the application process. If applicant is selected, move to Academic Records - Medical Student. The office of record is the School of Medicine & Health Sciences.</p>	ACFY + 3 yrs	ACFY + 3 yrs	Shred	020109	UND
<p>National Board Exam Records</p> <p>This record series contains national board exams, correspondence, and results. The office of record is the School of Medicine & Health Sciences.</p>	ACFY + 10 yrs	ACFY + 10 yrs	Shred	020605	UND
<p>Patient Laboratory Results Copies</p> <p>This record series contains copies of the laboratory results for quality assurance purposes. The original patient laboratory results are placed in the patient's medical record. The office of record is the School of Medicine & Health Sciences Centers for Family Medicine.</p>	ACFY + 2 yrs	ACFY + 2 yrs	Shred	800335	UND
<p>Patient Medical Records-Centers for Family Medicine (CFM)</p> <p>This record series contains patient medical information. May include diagnosis, treatments, medications, doctor appointments, test results, X-rays, X-ray cards, patient histories, and patient charts. The office of record is the School of Medicine & Health Sciences Centers for Family Medicine.</p>	ACM (Date of last visit + 10 years or until age 19, whichever is longer)	ACM (Date of last visit + 10 years or until age 19, whichever is longer)	Shred	190109	UND
<p>Post Graduate Resident Academic Records</p> <p>This record series consists of correspondence, applications, transcripts, medical school diploma, residency/fellowship certificates, and summary of resident's evaluations (final evaluation). The office of record is each individual residency training program. Active ceases with completion of residency or date of last attendance. Retain in the School of Medicine & Health Sciences. The office of record is the School of Medicine & Health Sciences.</p>	PERM	WA + 6 yrs	Retain	020430	UND
<p>Post Graduate Resident Applications</p> <p>This record series contains applications from prospective residents, correspondence, requests for information, letter of reference, working papers, and any other materials concerning the application. If applicant is selected for residency program, transfer record to PER 95-15. The office of record is the School of Medicine & Health Sciences.</p>	CY + 3 yrs	CFY + 1 yr	Shred	020101	UND

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Post Graduate Resident Employment Records This record series contains employment records for those residents accepted into a residency program. This series includes, but is not limited to, application material, job data hire forms, and correspondence. University of North Dakota due process procedures for residents. Active ceases will the completion of the residency or date of last attendance. The office of record is the School of Medicine & Health Sciences.	WA + 6 yrs	WA + 6 yrs	Shred	020401	UND
Reports - Financial-School of Medicine and Health Sciences This record series contains documents that provide a record of financial transactions for the School of Medicine & Health Sciences.	ACFY + 10 yrs	ACFY + 1 yr	Recycle	011013	UND
Program Evaluations-School of Medicine and Health Sciences This record series contains evaluations of each undergraduate and graduate academic program for the School of Medicine & Health Sciences. Active ceases after evaluation is completed. The office of record is the School of Medicine & Health Sciences.	WA + 8 yrs	ACFY + 1 yr	Archives	020707	UND
Resident Billing Records This series contains records that document the billing process and backup information used to calculate the quarterly invoice for residents. It may include detailed information such as name of resident, social security number, number of duty days completed during the month, the daily charge for each, the total amount being charged for each house staff member, and the total charge. For the Veterans Administration (VA) residency program, the VA is responsible for maintaining the original timekeeper documentation for the resident billing purposes. The office of record is the SMHS-Administration & Finance and/or Grants and Contracts Administration.	ACFY + 10 yrs	ACFY + 10 yrs	Shred	011815	UND
Resident Guidelines and Policies This record series contains a record of established policies, procedures, and guidelines concerning medical post-graduate residents. Active ceases when the guidelines and policies have been superseded. The office of record is the School of Medicine & Health Sciences.	WA + 3 yrs	UD	Recycle	650504	UND
Schedules This record series contains the campus rotation records for the 3rd and 4th year medical students. The office of record is the School of Medicine & Health Sciences.	ACFY + 3 yrs	ACFY + 3 yrs	Recycle	020423	UND
Staff Applications This record series contains information on applicants screened for a job at UND. It may include resumes, application forms, letters of introduction, interview documentation, etc. If hired, transfer records to Staff Personnel Files. The office of record is Human Resources.	ACFY + 3 yrs	ACFY + 1 yr	Shred	600205	UND
Student Applications This record series contains applications for student employment. This file may include applications, related correspondence, and interview documentation. If hired, transfer records to 600605 Student Employment Records. If not hired, leave in this series until retention period has been met. The office of record is the department employing the student.	ACFY + 3 yrs	ACFY + 1 yr	Shred	600206	UND

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<p>Student - Financial Aid Records</p> <p>This series contains records of the medical student's financial information in accordance with their attendance at the School of Medicine & Health Sciences. This may include program of study, enrollment status and duration, award letters, applications for financial aid, and admission records. Active ceases with graduation or last date of attendance. The office of records is SMHS Student Affairs and Admissions and Financial Aid.</p>	WA + 5 yrs	WA + 5 yrs	Shred	020307	UND
<p>Student Tracking Records - INMED</p> <p>This series contains records for Indian health career students throughout pre-college, college, and professional school levels. It consists of correspondence, applications, transcripts, and other academic and personal information pertinent to this education program used for administrative purposes. This is not the official academic record. Active ceases with the date of last attendance. The office of record is the School for Medicine and Health Sciences INMED (Indians Into Medicine).</p>	WA + 10 yrs	WA + 10 yrs	Shred	020429	UND

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Security					
Computer System or Application Privileged Access Requests This record series contains requests for elevated or privileged access to computers, applications, or information technology systems. This series may include new requests for elevated or privileged access, changes to elevated or privileged access, or termination of elevated or privileged access. The office of record is University Information Technology.	AT (After Termination) + 4 yrs	AT (After Termination) + 3 yrs	Shred	750204	NDUS
Information Technology Security Violations This record series contains documents and findings related to incidents of possible violations of acceptable use policies and procedures for electronic communications devices for students, employees, and others. This may include records of the Acceptable Use Review Committee (AURC), incident reports, notes, equipment seizure and chain of custody forms, computer or related forensic examination results and samples, and evidence (storage media, hard drives, etc.). Active ends when case is resolved for stand-alone records. The office of record is University Information Technology.	WA + 6 yrs	WA	Shred	650701	NDUS
Network Flow Data This record series contains documents including extremely high volume captures of network traffic such as session initiation, IP addresses, port numbers, and packet content. The data is used for forensic investigations and problem troubleshooting. The office of record is University Information Technology.	90 Days	90 Days	Shred	430303	NDUS
Network, Server, and Application Access Logs This record series contains information related to security of Information Technology (IT) systems. These records are maintained for the sole purpose of maintaining the security of the IT systems. The office of record is the system or network administrator for each IT system.	60 Days	60 Days	Delete/Shred	750212	UND
Telephone Passwords This record series contains information on the authorization codes given to university personnel for use in making long distance phone calls. This also includes student's code information. The office of record is Telecommunications.	ACFY + 3 yrs	ACFY	Shred	750205	NDUS
Video Recordings from Security Cameras This series contains video recordings from security cameras across campus. Active ceases when the recordings are no longer useful. Transfer video recordings to appropriate records series based on the content or value of the video. The office of record is the originating department.	WA	WA	Delete/Shred	750208	NDUS

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Students					
<u>Academic</u>					
Academic Records - Graduate This record series contains information on student academic history that is retained on a permanent basis. This includes academic records, grade rosters, FERPA related forms/information, and change of grade forms. This pertains to graduate students. The office of record is the Office of the Registrar, Graduate School and/or the College from which the student is obtaining a degree.	PERM	CAY + 3 yrs	Retain	020410	UND
Academic Records - Law School This record series contains correspondence, transcripts, equivalency diplomas, residency affidavits, for students accepted to the Law School. The office of record is the School of Law.	PERM	CAY + 3 yrs	Retain	020601	UND
Academic Records - Non-Permanent This record series contains information on student academic history that is not retained on a permanent basis. Records include, but are not limited to, transfer transcripts, applications for admission, letters of recommendation, receipts for application fee, petitions, name and social security number changes, dismissal and reinstatement records, student death records, withdrawals, degree audit files, and other information and forms relating to a student's academic record. This includes information on undergraduate, graduate, professional, and continuing education students. The office of record is the Office of the Registrar, Graduate School and/or the College from which the student is obtaining a degree.	ALA (After Last Action) + 5 yrs	ACFY + 1 yr	Shred	020403	NDUS
Academic Records - Undergraduate This record series contains information on student academic history that is retained on a permanent basis. This includes academic records, grade rosters, FERPA related forms/information, and change of grade forms. This pertains to undergraduate students. The office of record is the Office of the Registrar and/or the College from which the student is obtaining a degree.	PERM	CAY + 3 yrs	Retain	020425	UND
Admission Applications (No Money) This record series contains applications received over the internet or mailed without the processing fee enclosed. If payment is received, move to Admission Applications. If not, keep until retention is met. The office of record is Admissions.	ACFY + 1 yr	ACFY + 1 yr	Shred	020102	NDUS
Admission Applications This record series contains the applications prospective students fill out in order to attend the University. If accepted, move to Academic Records - Non-Permanent. If not accepted, keep until retention is met. The office of record is Admissions.	ACFY + 3 yrs	ACFY + 3 yrs	Shred	020101	NDUS
Advisement This record series contains information on students academic files. This may include copies of high school and college transcripts, advisement meeting notes, master time table, dean's list information, and other things relating to the student's academic standing. Active ceases with date of last attendance. The office of record is the advising department within the individual college.	WA + 5 yrs	WA	Shred	020408	NDUS

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<p>Graduate Admission Applications</p> <p>This record series contains correspondence, applications, transcripts, equivalency diploma, residency affidavit, and re-admission forms of students. If accepted, move to Academic Records-Non-Permanent. The office of record is the Office of the Registrar.</p>	ACFY + 3 yrs	ACFY	Shred	020103	NDUS
<p>National Student Loan Clearinghouse</p> <p>This record series contains a report stating the academic enrollment status of students. The office of record is the Office of the Registrar.</p>	ACFY + 3 yrs	ACFY	Shred	020305	NDUS
<p>Student Course Work</p> <p>This record series contains records of the course work done by any students. This includes independent study grades, intemship grades, term papers, homework, quizzes, tests, and minor projects. The office of record is the instructor and or department.</p>	ACFY + 1 yr	ACFY + 1 yr	Shred	020410	NDUS
Financial Aid					
<p>Disbursement Records</p> <p>This record series contains signatures of students who have received financial aid disbursements, scholarship checks, and other credits to student's accounts from the Business Office. This includes the form signed to authorize checks to be mailed to the student. Three years after the award year of last enrollment, unless 1) the student has an unpaid balance owed to the university; 2) the student has a Write Off Service Indicator indicating an unpaid balance was written off by the institution; or 3) the student is part of a program review. The office of record is One-Stop Student Services.</p>	ACM (After Conditions Met) + 3 yrs	ACM	Shred	020301	NDUS
<p>Financial Aid Records</p> <p>This record series contains records of the students financial information in accordance with their attendance at the university. This may include program of study, enrollment status and duration, award letters, applications for financial aid, and admission records. Three years after the award year of last enrollment, unless 1) the student has an unpaid balance owed to the university; 2) the student has a Write Off Service Indicator indicating an unpaid balance was written off by the institution; or 3) the student is part of a program review. The office of record is Student Financial Aid.</p>	ACM (After Conditions Met) + 3 yrs	ACM	Shred	020302	NDUS
<p>Financial Aid Reports</p> <p>This record series contains the Student Financial Aid Office reports. This may include operations reports and grant and scholarship reports. Three years after the award year of last enrollment, unless 1) the student has an unpaid balance owed to the university; 2) the student has a Write Off Service Indicator indicating an unpaid balance was written off by the institution; or 3) the student is part of a program review. The office of record is Student Financial Aid.</p>	ACM (After Conditions Met) + 3 yrs	ACM	Shred	020303	NDUS
<p>Promissory Notes</p> <p>This record series contains students promissory notes from federal, state, and university loans. The office of record is One-Stop Student Services.</p>	AFP (After Final Payment) + 3 yrs	AFP	Shred	020306	NDUS

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<u>General</u>					
<p>Career Counseling</p> <p>This record series contains information about the career counseling of students. This is for academic or career counseling only. The office of record is Career Services.</p>	ACFY + 7 yrs	ACFY + 1 yr	Shred	020409	NDUS
<p>Conduct Violation Records (Judicial Records)</p> <p>This record series contains information on students who violate the Code of Student Life. This may include incident reports from the UPD, crisis calls, supporting documentation for student hearings, housing violations of students who are not contracted to university housing, and copies of all correspondence regarding the violations. Active ceases when the matter has been resolved. The office of record is the Office of Student Rights and Responsibilities.</p>	WA + 6 yrs	WA + 6 yrs	Shred	800338	NDUS
<p>Counseling Client Files</p> <p>This record series contains information on personal history, case notes, release information, intake assessments, and record of any contact that is made with the client. This does not include any academic counseling. Active ceases with last clinical contact. The office of record is the Counseling Center.</p>	WA + 7 yrs	WA	Shred	020419	NDUS
<p>Course Evaluations</p> <p>See Administrative Section (ADM)</p>					
<p>Disability Files</p> <p>This record series contains student disability documentation. This may include requests for accommodation, correspondence, and notes from meetings with disabled students. Active ceases with graduation or the date of last attendance. The office of record is Disability Support Services.</p>	WA + 3 yrs	WA	Shred	020420	NDUS
<p>General Credential or Co-op File</p> <p>This record series contains information on the methods students use to market themselves to future employers. This may include resumes, unofficial transcripts, release forms, information cards, and online homework assignments for students registered at Career Services. Active ceases with graduation or last date of attendance. The office of record is Career Services.</p>	WA + 3 yrs	WA + 3 yrs	Shred	020411	NDUS
<p>Grade Book (Class Record)</p> <p>This record series contains a record of grades, kept by the professor, received by each student in an academic course. This includes both electronic and paper varieties. The office of record is the instructor of the course.</p>	ACFY + 5 yrs	ACFY + 1 yr	Shred	020601	NDUS

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
<p>Grade Report Forms</p> <p>This record series contains grade sheets used to record grades for each University student. This includes all students taking courses for credit. The office of record is the Office of the Registrar.</p>	PERM	ACFY + 1 yr	Retain	020603	NDUS
<p>Honors / Awards</p> <p>This record series contains a historical record of any honors and/or awards given to students. The office of record is the department presenting the award.</p>	ACFY + 3 yrs	ACFY + 1 yr	Archives	260103	NDUS
<p>International Student Files</p> <p>This record series contains information on all international students. This may include I-20's and other immigration information. The office of record is the International Center.</p>	ALA After Last Activity or Action) + 5 yrs	ALA After Last Activity or Action) + 5 yrs	Shred	020412	NDUS
<p>Learning Center Client Files</p> <p>This record series contains information on individuals who come to the University Learning Center for assistance (tutoring, assessment tests, etc.) The file may include the ULC's Basic Information Form, session notes, and other material as it pertains to the individual's needs. Active ceases with graduation or last date of attendance. The office of record is the University Learning Center.</p>	WA + 5 yrs	WA + 5 yrs	Shred	020427	UND
<p>Letters of Reference</p> <p>This record series contains letters of reference written for students at the University. The office of record is the office of the individual writing the letter.</p>	WA	WA	Shred	450107	NDUS
<p>Medical Records (Nursing)</p> <p>This record series contains immunizations (immunity) for Measles, Mumps, Rubella, Chickenpox, and Hepatitis B. It also contains documentation to tests for Tuberculosis (TB), certifications as Nursing Assistant and CPR, licensure as an LPN or RN, and health insurance. The office of record is the College of Nursing.</p>	WA + 7 yrs	WA + 7 yrs	Shred	190102	UND
<p>Nursing Incident Exposure/Variance Reports</p> <p>This record series contains incident reports for Nursing students which may be a medication error, exposure to bloodborne pathogens, a client injury, or a deviation from quality care. The office of record is the College of Nursing.</p>	ACM (Until injured party reaches age 19 or date of incident plus 6 years, whichever is longer.)	ACM (Until injured party reaches age 19 or date of incident plus 6 years, whichever is longer.)	Shred	900208	UND
<p>Record of Co-Curricular Activities</p> <p>This record series contains information on Co-Curricular Activities. This includes co-curricular transcripts. The office of record is the Memorial Union.</p>	WA + 1 yr	WA + 1 yr	Shred	020405	UND

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<p>Release of Information</p> <p>This record series contains documentation allowing the college/university to release student information to a third party. This may include disciplinary, financial, or academic records, along with any other information specified by the particular form signed by the student. The office of record is department supplying the information.</p>	PERM	WA	Retain	020401	NDUS
<p>Requests for Information</p> <p>This record series contains general inquiry requests such as enrollment, grade verifications, student academic standing, attendance at the institution, or general information on individual academic departments and Open Records Requests. This record series may include transcript requests and enrollment verifications. The office of record is the department answering the request.</p>	ACFY + 3 yrs	ACFY + 1 yr	Shred	450106	NDUS
<p>Residency Applications</p> <p>This record series contains residency applications from students in order to calculate tuition rates. The office of record is One-Stop Student Services.</p>	ACFY + 3 yrs	ACFY + 1 yr	Shred	012201	NDUS
<p>ROTC Cadet Files - DA 201</p> <p>This record series contains information related to a cadet enrolled in the Army ROTC program. Documentation may include DoD Enlisted Documents, DA 597/597-3 ROTC contracts, SGLV 8286 (lie insurance forms), Orders, DD 93, ROTC CC 137/136, Physical Fitness cards, Cadet Command Form 139-R, DA 3449-9 Medical Record containing DD 2005 (Privacy Act Statement), Report of Medical Examination, Report of Medical History, and any other pertinent information. Active ceases with graduation or disenrollment from the ROTC Program. The office of record is Military Science (Army ROTC).</p>	WA + 3 yrs	WA + 3 yrs	Shred	020414	NDUS
<p>Satisfactory Progress for Financial Aid Eligibility</p> <p>This record series contains information on students who fail to meet the criteria to receive Federal financial assistance. This may include student letters of appeals; letters and worksheets from Student Financial Aid Office; and decision of Appeals Board (i.e. meeting minutes and letter to student). Three years after the award year of last enrollment, unless 1) the student has an unpaid balance owed to the university; 2) the student has a Write Off Service Indicator indicating an unpaid balance was written off by the institution; or 3) the student is part of a program review. The office of record is the Vice-President for Student and Outreach Services Office.</p>	ACM (After Conditions Met) + 3 yrs	CFY + 5 yrs	Shred	020304	NDUS
<p>Special Circumstances</p> <p>This record series contains information on decisions made by the Dean of Students on students' special circumstances cases. This may include withdrawals after deadlines, exceptions to the refund schedule, notes from personal meetings, medical documentation, legal information, and the final decision. The office of record is the Office of Student Rights and Responsibilities.</p>	ACFY + 7 yrs was previously CY + 6 yrs	ACFY + 1 yr	Shred	020415	NDUS
<p>Student Evaluations / Professional</p> <p>This record series contains faculty evaluations of medical students, physician's assistants, residents, and those professional type students that require a longer retention period. Active ceases with graduation or last date of attendance. The office of record is the originating department.</p>	WA + 6 yrs	WA	Shred	020424	UND

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Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
<p>Student Teacher (Credential) File</p> <p>This series contains the evaluations of UND students that participated in student teaching. This may include teacher evaluations, certifications, and letters of reference. Active ceases with the last update to the file (update may include adding new letters of reference, adding unofficial transcripts, updating personal data, or having the file sent to a prospective employer or graduate school admissions committee). The office of record is Career Services.</p>	WA + 3 yrs	WA + 3 yrs	Shred	020416	NDUS
<p>Study Abroad Student Files</p> <p>This record series contains information on students who are studying at universities in other countries. The office of record is the International Center.</p>	CY + 5 yrs	CY + 5 yrs	Shred	020407	NDUS
<p>Summary Reports</p> <p>This record series contains reports pertaining to the academic situations of students. This series may include Admission Status reports. The office of record is the Office of the Registrar.</p>	UD	UD	Archives	020417	NDUS
<p>Veteran's Files</p> <p>This record series contains information on the different students receiving Military benefits through their attendance at the university. Active ceases with date of last attendance. The office of record is Veteran's Affairs.</p>	WA + 3 yrs	WA + 3 yrs	Shred	800340	NDUS

Housing

Housing

This record series contains information regarding student's on campus housing. This may include applications for housing, refrigerator and loft contracts, linen and key forms, meal plan contracts, payment verification, and information on room's condition before and after occupancy. Active ceases with date of last attendance. The office of record is Housing.

WA + 6 yrs	WA	Shred	800317	UND
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Housing Applications (No ID Number Not Admitted to UND)

This record series contains the applications prospective students fill out in order to live in university housing. If accepted, move to Housing Records (800317). If not accepted, keep until retention is met. The office of record is Housing.

ACFY + 3 yrs	ACFY + 3 yrs	Shred	800330	UND
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Housing Application (NO Money)

This record series contains applications received over the internet or mailed without the processing fee enclosed. If payment is received, move to House Record (800317). If not, keep until retention is met. The office of record is Housing.

ACFY + 1 yr	ACFY + 1 yr	Shred	800329	UND
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Graduate

Non-Degree Student Files

This record series contains information on students taking graduate classes but are not enrolled in a graduate school program. Active ceases with date of last attendance. The office of record is the Graduate School.

WA + 5 yrs	WA + 5 yrs	Shred	020406	NDUS
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Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
Recruitment					
Athletic Recruitment					
This record series contains information on prospective athletic students and for what sports they are being recruited. This may include high school transcripts, test scores, etc. The office of record is Athletics.	CY + 1 yr	CY + 1 yr	Shred	020501	NDUS
Career Service Employer Files					
This record series contains job descriptions, Equal Employment Opportunity statement, and correspondence with companies advertising or recruiting through Career Services. The office of record is Career Services or the School of Law Career Services.	UD + 3 yrs	UD	Recycle	800337	NDUS
Visit Cards					
This record series contains information on prospective students that have visited the University. The office of record is Enrollment Services.	CY + 1 yr	CY + 1 yr	Recycle	020503	NDUS
Testing					
Standardized Academic Tests from Certified Testing Centers					
This record series contains information on people who have taken academic standardized tests from Certified Testing Centers located on NDUS campuses. This includes test rosters, administrative paperwork, and the version taken. This record series does not pertain to campus-based courses or campus-based instruction. If the student enrolls in the university, move the record to student files. The office of record is the Testing Center.	CY + 2 yrs	CY + 1 yr	Shred	020605	NDUS
Standardized Psychological Tests					
This record series contains information on the people who have taken these standardized tests. This includes test rosters, administrative paperwork, and the version taken. The office of record is the Counseling Center.	CY + 5 yrs	CY + 5 yrs	Shred	020606	NDUS
TOEFL Tests					
This record series contains tests of international students demonstrating their proficiency in English. If student enrolls in the university, move record to admission application (University) If not, keep until retention is met. The office of record is Admissions.	CY + 3 yrs	CY + 3 yrs	Shred	020609	UND

Departments	Office of Record Retention	Copy Holder Retention	Disposal Method	Record Control Number	Retention Schedule
<p>(Upward Bound grant year is June 1 to May 30) (Talent Search and Student Support Services' Grant year is September 1 to August 31) (CGY = Current Grant Year)</p>					
TRIO					
Education Opportunity Center Participant Files					
<p>This record series contains information on all the participants of the program. This may include intake forms, correspondence, notes from meetings, and test results. Active ceases with last date of attendance. The office of record is TRIO.</p>					
	WA + 6 yrs	WA + 6 yrs	Shred	020106	UND
McNair Participant Files					
<p>This record series contains information on all participants of the program. This may include applications, selection criteria, acceptance, notice of appointments, salary, student reports, evaluations, questionnaires, and other relevant information. Active ceases with last date of attendance. The office of record is TRIO.</p>					
	WA + 6 yrs	WA + 6 yrs	Shred	020105	UND
Student Support Services Participant Files					
<p>This record series contains information on all the participants of the program. This may include signatures and notes verifying student's qualification for the program, and academic records. Active ceases with last date of attendance. The office of record is TRIO.</p>					
	WA + 6 yrs	WA + 6 yrs	Shred	020107	UND
Talent Search Participant Files					
<p>This record series contains certification of qualifications, records of services provided, and recommendations. Active ceases with last date of attendance. The office of record is TRIO.</p>					
	WA + 6 yrs	WA + 6 yrs	Shred	020504	UND
Upward Bound Participant Files					
<p>This record series contains information on all participants of the program. This may include applications, health records, academic records, progress reports, evaluations, signed permission slips, activity slips and standardized tests. Active ceases with last date of attendance. The office of record is TRIO.</p>					
	WA + 6 yrs	WA + 6 yrs	Shred	020104	UND
Upward Bound USDA Forms					
<p>This record series contains information on students with reduced meal costs during their camp or workshop. The office of record is TRIO.</p>					
	CY + 8 yrs	CY + 8 yrs	Shred	020306	UND

Proposed July 16, 2020

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