



University Archives Records Management Program

Records Retention Plan

Effective Date: March 2008

Introduction

AUC's Records Management Program, operated by the University Archives, assists the university community by providing guidelines on the appropriate retention periods for records, as well as storage and disposal services. The attached Records Retention Plan lists the types of records in use at AUC and the period of time they should be kept before being discarded (through shredding or recycling) or transferred to the University Archives for permanent preservation. The retention periods are based on legal and financial requirements, administrative needs of university offices, and the value of selected records for preserving AUC's history. The Retention Plan also indicates which records should be stored in the records centers managed by the program when they are no longer actively used in the office, ensuring more efficient retrieval of documents and use of storage space.

Instructions for Using the Records Retention Plan

The Records Retention Plan is organized in 7 sections, according to the general categories of records created, received, or used by AUC units (departments, offices, etc.). The sections are:

1: Administrative Records and General Documents

Records used for administration and management functions (such as planning and governance), and by various bodies (like committee records and meeting minutes). Also includes records possessed by most university units and offices (like correspondence), as well as common office support documents.

2: Financial, Procurement, and Legal Records

Records used for analysis and control of university finances, for documenting individual financial transactions (like purchase payments), and documents with legal standing (like contracts).

3: Personnel Records

Records related to faculty and staff hiring, evaluation, compensation and benefits, and related issues.

4: Facilities, Technical Resources, and Services Records

Records documenting the university's physical holdings (buildings, equipment, etc.) and their maintenance, technical systems (including computing), and other services (like security or printing) that support the university's core mission.

5: Curriculum, Instruction, and Research Records

Records related to the development and evaluation of academic programs and courses, and services supporting research and other scholarly activity (including grants administration and library services).

6: Student Academic Records

Records documenting students' academic careers at the university, including entry, evaluation, and routine transactions related to their courses and programs of study.

7: Student Support and Life Records

Records related to students' non-academic lives at the university, including participatory activities and services provided (such as housing or counseling).

Most units will possess records listed in several (and for some, like the Provost's Office, all) of these categories, so users should review the various sections to locate records that apply to their office's functions. The section titled "Personnel Records," for example, does not apply only to the Human Resources Office; instead, any office that has records related to personnel matters should review this section for guidance.

Each section of the retention schedule contains a table with four columns.

Column 1, **Type of Record**, lists the names of records that share the same purpose (for example, "Budget Preparation Records"), or have the same basic form, like "Meeting Minutes." Some record types are listed multiple times in the schedule (when shown the second and subsequent times, the name of the record type is not shown in bold face). See the explanation below for Columns 3-4 for how to proceed when this occurs.

Column 2, **Description**, describes the functions of the records listed in Column 1, and/or the reasons they are produced. Usually this field will show a note titled "Includes" that lists specific documents that are considered examples of this type of record. This field may also contain notes directing the user to look elsewhere in the Retention Plan for more guidance, or indicate where in an office's files a type of record may normally be located.

Column 3, **Office Holding Record**, lists the university offices and units that create or hold the kind of documents listed in Column 1, and that should apply the records retention period and related actions for these documents (which are stated in Column 4). Units that are listed together in a single cell of Column 3 should all take the same retention actions that are shown in the cell of Column 4 to their right.

The "Office Holding Record" column lists the offices that are the principal units responsible for records, but to cover cases in which other offices would also have those kinds of items (and should take the same actions), this column may also list "All Other Offices" in addition to specific units. When "All Offices" appears under Column 3, all AUC offices should handle these records in the same way, according to the instructions to the right in Column 4.

Column 4, **Retention Action**, gives the actions that the university offices listed in Column 3 should take for a particular type of record (for example, "Retain for **7 years**, then shred"). Take note of **all the text** in the Retention Action column; these notes, especially those following the word "then," indicate essential steps in the required retention action.

Listed first is the retention period, the number of years that a record should be preserved before the documents' final disposition (discard or transfer for long-term archival preservation). The number shown indicates the number of years after August 31 of the current fiscal/academic year. Thus if the retention action states "retain for 2 years," a document with a date between September 2007 and August 2008 would come to the end of its period of required retention on September 1, 2010.

The listed final disposition after the retention period may be a **discard action** ("shred" for documents containing confidential personal or financial information, or "recycle" for documents lacking such information). For record types with larger quantities, the following note is given: "Contact Records Management Program for

storage in records center and disposal.” This indicates that the office should make arrangements with Records Management staff for storing the documents in the records center, and that the records management program will arrange for the destruction of the material after its retention period comes to an end (originating offices will always be notified of any upcoming records destruction). If the quantity of records to be discarded is small, the office should take this action on their own, so no additional note is listed. If an office does not have access to a shredding machine, the Records Center can perform this service.

Do not destroy records needed for a legal action, audit, or investigation. Notify Records Management Program staff of any records like these that are stored in the records center, so their disposal (according to the Retention Plan’s “Retention Action” column) may be temporarily suspended until the legal action, audit, or investigation is completed.

The other final disposition after the end of the retention period is **long-term preservation in the University Archives**. This is communicated by the retention period followed by “then” and this note: “Contact Records Management Program for storage in records center and transfer to the University Archives.” The number of years listed indicate how long the records should be kept in your office, but the **records are permanent** and should be transferred for preservation in the University Archives.

The notes in the “Retention Action” Column sometimes indicate alternative arrangements or actions when appropriate. In addition, sometimes Column 4 will direct users to see another section of the Retention Plan for how to handle different but related types of document (for example, “See Section 3: Personnel Records, for handling of faculty personnel files.”).

For any questions about how to use or apply the Records Retention Plan, please contact a Records Management staff member (see the “Records Management Program Contact Information” sheet).

For procedures for transferring material to the records center, see the “Guide to Transferring Records to the Records Center.”

Type of Record	Description	Office Holding Record	Retention Action
Accreditation Review Records: Institutional	See "Review and Audit Records: External – including Accreditation" below. For accreditation for academic departments and programs, see Section 5: Curriculum, Instruction, and Research Records.		
Acknowledgements	Written replies acknowledging the receipt of a document, an invitation, or some other action on the part of the recipient.	All Offices	Avoid filing or remove during periodic office files maintenance.
Audio-Visual Material	<p>Audio-visual materials about AUC, produced as a marketing tool or documenting events, activities, or personnel. Can also include the product of artistic or research projects. Includes audio-visual materials produced by university personnel or contracted vendors. Does not include commercially-produced materials in libraries.</p> <p>Includes: Motion picture/video and sound/audio recordings on tape (cassette or reel) or in digital format.</p>	All Offices	<p>Retain for as long as needed, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
Awards and Honors Records	<p>Records related to the selection of individuals or organizations within or outside AUC for awards and honors, for academic achievement, service, or other distinction.</p> <p>Includes: Documentation on the establishment of and funding for award programs, eligibility and selection criteria, promotional material and publications, nomination documents, award notifications, recipient and candidate lists and biographical information, award event documentation including recipient speeches, and related correspondence.</p>	All Offices	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
Committee Records: Committee Member Reference Copies	Reference copies of records used in the course of committee work by committee members other than the chair or the official designated to maintain them.	Committee members	<p>Retain reference copies of committee records for as long as needed, then shred.</p> <p>Official records should be in the possession of the chair or designated committee officer, and later transferred to the parent or authorizing body.</p>

Type of Record	Description	Office Holding Record	Retention Action
<p>Committee Records: Governing Bodies</p>	<p>Records documenting the activities and decisions of university governing bodies, particularly the Board of Trustees and University Senate. Includes records of their associated subcommittees and other units and officers.</p> <p>Includes: Meeting minutes, agendas, notes, attachments, statements of mission or charge, presentations, reports, membership records and participant lists, audio-visual recordings, and related documentation and correspondence.</p>	<p>Board of Trustees and subcommittees</p> <p>New York Office</p> <p>University Senate and subcommittees</p>	<p>Retain for 10 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives or alternative arrangements; records covering several years may be transferred at one time.</p> <p>Official records should be in the possession of the chair or designated committee officer, and later transferred to the Senate Office for those records, or New York Office for Official Trustee records.</p>
<p>Committee Records: Governing Bodies</p>	<p>Reference copies of governing body records (see above for description).</p>	<p>President</p> <p>Provost</p> <p>Vice Presidents</p> <p>School Deans</p>	<p>Retain reference copies of governing body records for as long as needed, then:</p> <p>Contact Records Management Program for transfer to the University Archives or alternative arrangements; records covering several years may be transferred at one time.</p>
<p>Committee Records: Governing Bodies</p>	<p>Reference copies of governing body records (see above for description).</p>	<p>All Other Offices</p> <p>Committee members</p>	<p>Retain reference copies of governing body records for as long as needed, then shred.</p>
<p>Committee Records: Schools, Libraries, Centers</p>	<p>Records documenting the activities and decisions of committees of the university's schools as well as Libraries and Learning Technologies and centers like the Social Research and Desert Development Center. Committees' functions may include governance or advisory roles, academic personnel evaluation, allocation of funding for scholarly activities, academic program planning and approval, discipline, awards and scholarships selection, or other purposes.</p> <p>Includes: Meeting minutes, agendas, notes, attachments, statements of mission or charge, presentations, reports, membership records and participant lists, audio-visual recordings, and related documentation and correspondence.</p>	<p>School Deans</p> <p>Vice President for Continuing Education</p> <p>Libraries and Learning Technologies Dean</p> <p>Centers (Social Research Center, Desert Development Center, etc.)</p> <p>Associated Committees</p>	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives or alternative arrangements; records covering several years may be transferred at one time.</p> <p>Official records should be in the possession of the chair or designated committee officer, and later deposited with the Dean's office or other designated office.</p>
<p>Committee Records: Schools, Libraries, Centers</p>	<p>Reference copies of committee records (see above for description).</p>	<p>Committee members</p>	<p>Retain reference copies of governing body records for as long as needed, then shred.</p>

Type of Record	Description	Office Holding Record	Retention Action
<p>Committee Records: Standing and Special Committees</p>	<p>Records documenting the activities and decisions of standing and special university committees, boards, task forces and other bodies, and their subcommittees. These committees may have roles ranging from planning, personnel matters, events planning, awards and scholarships selection, etc., and may include associated groups of non-university personnel, such as alumni boards.</p> <p>Includes: Meeting minutes, agendas, notes, attachments, statements of mission or charge, presentations, reports, membership records and participant lists, audio-visual recordings, and related documentation and correspondence.</p>	<p>Standing and Special Committees</p> <p>All Parent/Authorizing Offices for Standing and Special Committees</p>	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p> <p>Official records should be in the possession of the chair or designated committee officer, and later transferred to the parent or authorizing body.</p>
<p>Committee Records: Standing and Special Committees</p>	<p>Reference copies of standing and special committee records (see above for description).</p>	<p>All Other Offices</p> <p>Committee members</p>	<p>Retain reference copies of governing body records for as long as needed, then shred.</p>
<p>Committee Records: Units</p>	<p>See "Meeting Minutes and Related Records: Offices and Units" below.</p>		
<p>Correspondence Files: By Correspondent/Office</p>	<p>Written communications contained in files organized according to an AUC office or unit, outside organization, or individual, or by subject. May also be known as Administrative Files, General Files, or Subject Files.</p> <p>Includes: Correspondence, memoranda, attachments, reports, etc.</p>	<p>All Offices</p>	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives for review; records covering several years may be transferred at one time.</p> <p>Periodic files maintenance should be performed to remove various kinds of office support documents (cover letters, drafts, duplicates, publications, etc.). See elsewhere in Section 1 for guidance.</p>
<p>Correspondence Files: Chronological</p>	<p>Written communications organized chronologically, representing all incoming or outgoing correspondence from an office. These files may also be referred to as "In-Out," "Chron," or "Day" files.</p> <p>Includes: Correspondence, memoranda, attachments, reports, etc.</p>	<p>All Offices</p>	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives for review; records covering several years may be transferred at one time.</p> <p>Periodic office files maintenance should be performed to remove various kinds of general office support documents (cover letters, drafts, duplicates, publications, etc.). See elsewhere in this section for guidance.</p>

Type of Record	Description	Office Holding Record	Retention Action
<p>Correspondence Files: Routine Inquiries and Responses</p>	<p>Written communications received and generated in response to routine inquiries or requests for information/publications about an AUC unit or an academic or other program. Responses will generally be “form letter” in format or supply basic information found elsewhere.</p> <p>Includes: Letters, emails, inquiry cards, etc.</p>	<p>Admissions Enrollment Services Academic Departments and Programs All Other Offices</p>	<p>Retain for as long as needed, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Cover Letters/ Transmittal Sheets</p>	<p>Cover letters that accompany a document.</p>	<p>All Offices</p>	<p>Avoid filing (or remove during periodic maintenance of office files) multiple copies of identical outgoing cover letters/ transmittal sheets sent to large numbers of recipients. Keep only one copy and keep a list of the recipients if necessary.</p>
<p>Directories, Personnel Lists, and Organization Charts</p>	<p>Documents listing university personnel or describing the structure of the university or of its units.</p> <p>Includes: Directories and lists of personnel (internal or published for public view), telephone and email lists, organization charts, and related documentation.</p>	<p>All Offices</p>	<p>Retain for 5 years or until superseded, then:</p> <p>Contact University Archives for transfer or alternative arrangements (transferring copies); records covering several years may be transferred at one time.</p> <p>See “Publications Created by AUC” below for transfer of published directories.</p>
<p>Donor Records</p>	<p>Records related to donors or prospective donors (individual or institutions) of funds or items (equipment, books, etc.) given as gifts to the university.</p> <p>Includes: Contact and biographical information, giving histories, gift acknowledgements, documentation and correspondence.</p> <p>For Gift Files/donor financial records see Section 2: Financial, Procurement, and Legal Records.</p>	<p>President Vice Presidents Development Libraries and Learning Technologies All Other Offices</p>	<p>Retain for as long as needed, then:</p> <p>Contact Records Management Program for transfer to the University Archives and to make arrangements about small donor records; records covering several years may be transferred at one time.</p> <p>Retain or compile lists of donors, including lists of items given (i.e., library books).</p>
<p>Drafts</p>	<p>Non-final versions of a document, and associated notes and other working papers.</p>	<p>All offices</p>	<p>Retain drafts for as long as needed (such as until final version is produced), then shred.</p> <p>For major planning or policy development documents, retain all drafts with major changes between versions.</p>

Type of Record	Description	Office Holding Record	Retention Action
Duplicates	Extra copies of items.	All Offices	Avoid filing large quantities of duplicates, or remove during periodic office files maintenance.
Electronic Mail/Email	Email communication should be considered a form of correspondence.	All Offices	See "Correspondence" above. Print and save electronically copies of important emails and file (policies and procedures for handling email and other electronic records in their original form are forthcoming).
Events Records: AUC-Sponsored	<p>Records related to events sponsored or co-sponsored by AUC units. Events include (but are not limited to) conferences, lectures, workshops, orientations, Commencement and other academic ceremonies, awards and honors ceremonies, anniversaries and commemorations, dedications and presentations, alumni and donor events, tours, and major dinners and social functions. Events may be of any size, and may be recurring (i.e., annual, or one-time only irregular in their timing).</p> <p>Includes: Invitations, program booklets, promotional materials like posters and announcement flyers, news releases, published presentations, text of speeches, participant lists and biographies, attendance and other statistics, schedules, photographs and audio-visual material, newspaper and magazine clippings, financial/payment records, planning and arrangements documentation, reports, and related correspondence.</p> <p>For materials for internal training sessions see "Training Documentation: Internal Programs" below.</p>	All Offices sponsoring or planning events	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time</p> <p>See Section 2: Financial, Procurement, and Legal Records for handling of financial/payment records.</p> <p>See also "Publications Created by AUC" below.</p>
Events Records: AUC-Sponsored	Reference copies of events-related materials produced by other offices (see above).	President Provost Vice Provost School Deans Communications and Marketing Alumni and Trustee Affairs Student Development	<p>Retain for as long as needed, then:</p> <p>Contact University Archives for transfer; records covering several years may be transferred at one time.</p>

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Section 1: Administrative Records and General Documents

Type of Record	Description	Office Holding Record	Retention Action
Events Records: AUC-Sponsored	Reference copies of events-related materials produced by other offices (see above).	All Other Offices	Retain for as long as needed , then recycle.
Events Records: Non-AUC Events Attended: Institutional Representation	Documentation for non-AUC events attended by university personnel (such as meetings, conferences, etc.) representing the institution in an official capacity. Includes: Programs, announcements, promotional materials, registration records, schedules and event descriptions, presentation materials, handouts, conference proceedings or minutes, and related documentation and correspondence.	President Provost Vice Presidents School Deans All Other Offices	Retain for 5 years , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.
Events Records: Non-AUC Events Attended: Professional/Training	Documentation for non-AUC events attended by university personnel, such as meetings, conferences, workshops, etc. for professional development or training purposes. Includes: Programs, announcements, promotional materials, registration records, schedules and event descriptions, presentation materials, handouts, conference proceedings or minutes, and related documentation and correspondence.	All Offices	Retain materials used for reference for as long as needed , then recycle.
External Relations/ Inter-Institutional Cooperation Records	Records of contact and coordination with outside institutions and individuals for various purposes, including cooperative academic or research initiatives (i.e., special projects, consortia, study abroad programs, etc.), student services (i.e., employer recruiting), government relations, etc. Likely contained in correspondence, project, or subject files. Includes: Proposals, planning documents, agreements, reports, policies and procedures, meeting minutes, and related documentation and correspondence.	All Offices	Retain for 5 years , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time. For handling of contracts, see "Contracts and Agreements: Educational Cooperation" in Section 2: Financial, Procurement, and Legal Records.
Fax Transmittal sheets	See "Covering Letters/Transmittal Sheets" above.		
Forms: Blanks	Blank copies of forms used by the office.	All Offices	Avoid filing with other office records; store blank forms together in a special location (i.e., binder).
Governance Documents and Charters	Records documenting the basic mission and governance policies and procedures for the university and individual units. Includes: Constitutions and by-laws, mission statements, founding and reorganization documents, department governance documents, etc.	All Offices	Retain for 5 years or until superseded , then: Contact University Archives for transfer or alternative arrangements (such as transferring copies); records covering several years may be transferred at one time.

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Type of Record	Description	Office Holding Record	Retention Action
Greeting Cards and Personal Notes	Cards sent as mass mailings or by individuals, for various occasions or for courtesy purposes, and personal greeting notes.	All Offices	Retain as correspondence only cards with substantial written communication. Avoid filing or remove during periodic office files maintenance.
Mailing Lists	Lists of mailing addresses (postal and email).	All Offices	Retain for as long as needed , then shred.
Marketing and Advertising Records	See "Publications Created by AUC" below.		
Meeting Minutes and Related Records: Committees	See "Committee Records" above.		
Meeting Minutes and Related Records: Offices and Units	Summaries and associated records of the meetings of university units (schools, departments, centers, offices, etc.), as well as subcommittees composed of unit personnel. Meetings may include administrators, faculty, and staff. Likely to be found in committee records. Includes: Meeting minutes, agendas, notes, attachments, presentations, reports, participant lists, audio-visual recordings, related documentation and correspondence.	All Offices	Retain for 5 years , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.
Meeting Minutes and Related Records: Other	Summaries and associated records related to other kinds of meetings, such as between AUC personnel and outside organizations and individuals, between AUC personnel (not at the level of units or committees), with students, etc. Meetings may include administrators, faculty, and staff, and students. May be found in correspondence, project, or subject files, or in personnel or student records. Includes: Meeting minutes, agendas, notes, attachments, presentations, reports, participant lists, audio-visual recordings, related documentation and correspondence.	All Offices	Retain based on the retention action for the broader type of records in which these are found (i.e., Correspondence, Personnel Records, Student Records, etc.).
Memoranda: Announcements and Circulars	Memoranda issued for wide distribution by university units to announce policies or procedures or to provide updates on events, personnel changes, and other developments. Includes: Memoranda in paper form, flyers and other postings, email messages, etc.	All Offices generating memoranda	Retain for 5 years or until superseded , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time. Send to the University Archives 2 copies when issued (Place the University Archives on the office's campus mail or email mailing list).

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Section 1: Administrative Records and General Documents

Type of Record	Description	Office Holding Record	Retention Action
Memoranda: Announcements and Circulars	Reference copies of memoranda produced by other offices.	President Provost Vice Presidents School Deans	Retain for 5 years or until superseded , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.
Memoranda: Announcements and Circulars	Reference copies of memoranda produced by other offices.	All Other Offices	Retain for as long as needed , then recycle.
Memorabilia	Items with historic or symbolic value, and mementos and souvenirs associated with AUC and its units.	All Offices	Retain for as long as needed , then: Contact Records Management Program for storage in records center and transfer to the University Archives.
Photographs	Photographic materials about AUC, produced as a marketing tool or documenting events, activities, or personnel. Includes photographs by university personnel or contracted vendors. Can also include the product of artistic or research projects. Includes: Prints, slides, negatives, digital images, printouts, albums, etc.	Communications and Marketing Caravan Student Newspaper All Other Offices	Retain for as long as needed , then: Contact Records Management Program for storage in records center and transfer to the University Archives.
Planning Records	Records related to planning (including goal-setting, forecasting, etc.) activities for internal purposes. May involve short-term or long-range planning, and be university-wide or restricted in scope to the unit's functions. Include: Reports (i.e., Long range planning, Self-study, etc.), proposals, strategic plans and forecasts, statistics, notes, and related documentation and correspondence.	President Provost Vice Presidents School Deans Institutional Planning, Assessment, Research and Testing	Retain for 10 years for institutional planning records, and 5 years for remainder , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.
Planning Records	See above.	All Other Offices	Retain for 5 years , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.

Type of Record	Description	Office Holding Record	Retention Action
<p>Policies and Procedures Documentation</p>	<p>Policies and procedures developed and issued by university units.</p> <p>Includes: Manuals, handbooks, regulations, guidelines, notes, drafts, and related documentation and correspondence.</p>	<p>All Offices generating policies and procedures</p>	<p>Retain until superseded, then:</p> <p>Contact University Archives for transfer or alternative arrangements (such as transferring copies); records covering several years may be transferred at one time.</p> <p>See “Publications Created by AUC” below for transfer of published policies and procedures (i.e., manuals, etc.).</p>
<p>Policies and Procedures Documentation</p>	<p>Reference copies of policies and procedures produced by other offices.</p>	<p>All Offices</p>	<p>Retain for as long as needed, then recycle.</p>
<p>Professional Membership Records</p>	<p>Documents related to institutional membership in professional associations and organizations by the university, a unit, or personnel. Does not include substantial inter-institutional correspondence with professional organizations.</p> <p>Includes: Membership forms and applications, promotional materials and publications, event announcements (i.e., conferences), etc.</p>	<p>All Offices</p>	<p>Retain for one membership renewal cycle, then recycle (shred completed applications/forms).</p>
<p>Project Files</p>	<p>Records related to projects undertaken by the unit. Projects may be ongoing activities or special initiatives (for example, the development of a new program or selection of a new technical system).</p> <p>Includes: Proposals, reports, meeting minutes, financial/payment records, and related documentation and correspondence.</p>	<p>All Offices</p>	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives or alternative arrangements; records covering several years may be transferred at one time.</p> <p>See Section 2: Financial, Procurement, and Legal Records for handling of financial/payment records.</p>
<p>Publications About AUC (Not Produced by AUC)</p>	<p>Published material about AUC not produced by the university.</p> <p>Includes: Books, magazine and newspaper articles and clippings, audio-visual recordings, etc.</p>	<p>Communications and Marketing</p> <p>All Offices</p>	<p>Retain for as long as needed, then:</p> <p>Contact the University Archives for transfer; records covering several years may be transferred at one time.</p>

Type of Record	Description	Office Holding Record	Retention Action
<p>Publications Created by AUC</p>	<p>Publications produced by AUC units for promotional, publicity, marketing, informational, scholarly, or literary/artistic purposes.</p> <p>Includes: Reports, catalogs, news releases, promotional materials like view-books and brochures, directories, journals, event proceedings, magazines, newsletters, advertisements produced for publication in outside sources, audio-visual materials, websites, etc. Applies to materials in digital as well as printed format.</p>	<p>All Offices generating publications of any kind</p> <p>Communications and Marketing</p> <p>Student Development</p> <p>Student Organizations and Publications</p>	<p>Send to the University Archives 3 copies of publications (Place the University Archives on the office's campus mail or email mailing list).</p> <p>For handling of student theses see Section 6: Student Academic Records.</p> <p>AUC Press: consult with Rare Books and Special Collections Library about book transfers</p>
<p>Publications Created by AUC</p>	<p>Reference copies of publications produced by other offices (see above).</p>	<p>President</p> <p>Provost</p> <p>School Deans</p> <p>Communications and Marketing</p> <p>Alumni and Trustee Affairs</p> <p>Student Development</p>	<p>Retain for 3 years, then:</p> <p>Contact the University Archives for transfer; records covering several years may be transferred at one time.</p>
<p>Publications Created by AUC</p>	<p>Reference copies of publications produced by other offices (see above).</p>	<p>All Other Offices</p>	<p>Retain for as long as needed, then recycle.</p>
<p>Publications Created by AUC: Production Materials</p>	<p>Records related to the production of publications issues by AUC units.</p> <p>Includes: Drafts, specifications, copy edit materials, art work and graphics, etc.</p>	<p>Communications and Marketing</p> <p>Printshop</p>	<p>Retain for as long as needed, then recycle; first:</p> <p>Contact the University Archives for transfer of original graphics, artwork, and photographs.</p>
<p>Publications Not Created by AUC</p>	<p>Published items not produced by AUC or its units, maintained for reference purposes. Sources may include publishers, professional associations, government agencies, other educational institutions, etc. Does not include materials in unit libraries.</p> <p>Includes: Books, journals, newsletters, magazine and newspaper articles and clippings not about AUC, regulations and guidelines, directories, catalogs, promotional materials like brochures and pamphlets, etc.</p>	<p>All Offices</p>	<p>Retain for as long as needed, then recycle.</p> <p>See also "Events Records: Non-AUC Events Attended," above.</p> <p>See Section 2: Financial, Procurement, and Legal Records for handling vendor publications.</p> <p>See Section 4: Facilities, Technical Resources, and Services Records for handling of equipment and software manuals.</p> <p>For disposition of materials from office/unit libraries, consult the Main Library's Collection Development Office.</p>

AUC Records Retention Plan

Section 1: Administrative Records and General Documents

Type of Record	Description	Office Holding Record	Retention Action
Reports: Annual and Special (Published)	Annual reports and reports generated for special purposes, published for distribution (i.e., annual President's Report, etc.).	All Offices	Send to the University Archives 3 copies of reports. (Place the University Archives on the office's campus mail or email mailing list). See also "Publications Created by AUC" above.
Reports: Annual, Periodic, and Special (Unpublished)	Annual and periodic (i.e., monthly) reports, and reports generated for special purposes, documenting the activities and functions of university units. Likely located in correspondence, project, or subject files. For financial reports see Section 2: Financial, Procurement, and Legal Records. For annual faculty reports, staff evaluations, and other personnel-related reports see Section 3: Personnel Records.	All Offices	Retain for 5 years , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time. For important reports, retain all drafts with major changes between versions.
Review and Audit Records: External – including Accreditation	Records of reviews and audits conducted to evaluate university units and programs, by outside accreditation bodies (i.e., Middle States Commission), professional organizations, government officials, etc. Includes: Reports (final, self-evaluation, etc.), statistics, response statements, arrangements records, and related documentation and correspondence. For fiscal audits see Section 2: Financial, Procurement, and Legal Documents. For accreditation reviews for academic departments and programs, see Section 5: Curriculum, Instruction, and Research Records.	President Provost Vice Presidents Vice Provost Institutional Planning, Assessment, Research and Testing Counselor Internal Auditor All Other Offices	Retain for 10 years or until end of next review/accreditation cycle , then: Contact Records Management Program for storage in records center and transfer to the University Archives; records covering several years may be transferred at one time
Review and Audit Records: Internal	Records of reviews and audits conducted to evaluate university units and programs, by university special committees, the AUC internal audit office, units (self-studies), designated university personnel, or outside consultants engaged to conduct such a review. See Section 5: Curriculum, Instruction, and Research Records for "Accreditation Review Records: Schools, Academic Departments and Programs." Includes: Reports (final, self-evaluation, etc.), statistics, response statements, arrangements records, and related documentation and correspondence.	Internal Auditor Committees All Other Offices	Retain for 5 years , then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time. Committee chairs should arrange for transfer of records to their parent/authorizing office.

Type of Record	Description	Office Holding Record	Retention Action
Scheduling Records (Calendars, etc.)	<p>Documents used for scheduling appointments and events.</p> <p>Includes: Appointment books, calendars, etc.</p>	President Provost Vice Presidents School Deans	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time</p>
Scheduling Records (Calendars, etc.)	See above.	All Other Offices	Retain for as long as needed , then shred.
Speeches and Presentations	<p>Documentation for speeches delivered, statements made, and presentations given by AUC personnel in connection with university business, or for ceremonial purposes (does not include scholarly presentations by individual faculty members).</p> <p>Includes: Final versions, drafts, source material, audio-visual recordings, and related documentation and correspondence.</p>	All Offices	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.</p>
Statistics	<p>Statistics compiled to document AUC or unit functions and activities. Likely located in correspondence, project, or subject files, or associated with reports.</p>	All Offices	<p>Retain for as long as needed, then:</p> <p>Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.</p>
Subject Files	<p>Records contained in files organized by subject or topic, usually arranged alphabetically. These may represent the unit's general set of administrative files or general files, and can include files for correspondence with other university offices, other institutions, etc.</p> <p>Includes: Correspondence, memoranda, reports, statistics, magazine and newspaper articles and clippings, etc.</p>	All Offices	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.</p>
Research/Survey Response Forms (Completed): Institutional and Internal Analysis	<p>Completed questionnaires and other response forms for students, alumni, faculty, staff, and others, used for analyzing the activities and/or performance of the university and its units.</p> <p>See Section 5: Curriculum, Instruction, and Research Records, for "Research/Survey Response Forms: Scholarly Research."</p>	Institutional Planning, Assessment, Research, and Testing All Other Offices	<p>Retain for as long as needed, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>

Type of Record	Description	Office Holding Record	Retention Action
Telephone Message Slips and Logs	Forms and logs identifying callers and noting messages left.	All Offices	Retain for as long as needed , then shred.
Training Documentation: Internal Programs	<p>Records related to internal training programs (short-courses, workshops, training sessions, etc.) conducted for university employees (not for continuing education or other programs for individuals from outside AUC).</p> <p>Includes: Course materials like handouts (i.e. charts, Powerpoint presentation printouts), manuals, schedules, announcements, etc.</p>	<p>Training Center</p> <p>All Offices conducting training programs (i.e., Computing units, etc.)</p>	<p>Retain for as long as needed, then recycle; first:</p> <p>Contact Records Management Program for transfer samples to the University Archives; records covering several years may be transferred at one time</p>
Training Documentation: Internal Programs	Reference copies of Training Documentation (i.e., handout materials).	All Offices	Retain for as long as needed , then recycle.
Travel Arrangements Records	<p>Records related to making travel arrangements for university personnel and visitors. Does not apply to Travel Office records.</p> <p>Includes: Schedules, copies of personal identification documents (i.e., passports), transportation vendor offer documents, financial records, and related documentation and correspondence.</p> <p>For records for tours and similar activities see "Events Records: AUC-Sponsored" above.</p>	All Offices	<p>Retain for 3 years, then shred.</p> <p>For handling of financial/payment records, see "Travel Expenditure Records" in Section 2: Financial, Procurement, and Legal Records.</p>

Type of Record	Description	Office Holding Record	Retention Action
Bank Records	Records related to transactions and accounts with banks. Includes: Deposit slips, bank letters, credit card records, employee bank selection correspondence, reconciliations, statements, check registers, check stubs, cancelled checks, wire transfers, etc.	Controller New Campus Financial	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Bank Records	See above.	All Other Offices	Retain for 3 years , then shred.
Budget Maintenance Records (Annual): Departments and Offices	Records related to changes and adjustments made to the annual approved budget for AUC units like departments and offices. Includes: Budget change requests and related documentation and correspondence.	Budget & Financial Planning All Other Offices	Retain for 3 years , then shred.
Budget Maintenance Records (Annual): Projects	Records related to changes and adjustments made to the annual approved budget for projects undertaken by AUC units. Includes: Budget change requests and related documentation and correspondence.	Budget & Financial Planning All Other Offices	Retain for 3 years after completion of project , then shred.
Budget Preparation Records: Departments / Offices and Projects	Records related to the preparation of the annual budget for university units and projects.	Budget & Financial Planning	Retain final approved budget (and related substantive documentation and correspondence) for 7 years , then: Contact Records Management Program for storage in records center and transfer to the University Archives. Retain other documentation for 3 years , then shred.
Budget Preparation Records; Departments / Offices and Projects	Records related to the preparation of the annual budget for university departments/offices and for projects.	All Other Offices	Retain for 3 years , then shred.
Budget Reports: Final	Annual reports related to the final yearly budget for AUC and its units. Includes: May Approved budget report for Board of Trustees, final actual results, etc.	Vice President for Finance Budget & Financial Planning	Retain for 7 years , then: Contact Records Management Program for storage in records center and transfer to the University Archives.

AUC Records Retention Plan

Section 2: Financial, Procurement, and Legal Records

Type of Record	Description	Office Holding Record	Retention Action
Budget Reports: Preliminary and Review	Reports used in the budget analysis process. Includes: Budget review documents, first view budget report for Board of Trustees, year-end forecast report, etc.	Budget & Financial Planning	Retain for 5 years , then shred. Contact Records Management Program for storage in records center and disposal.
Cash Records	Records of cash disbursed or received. Includes: Petty cash logs/balance sheets, cash receipt slips, petty cash vouchers, journal vouchers, cash register tapes.	Controller	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Cash Records	See above.	All Other Offices	Retain for 3 years , then shred.
Cashier Records	Records of daily accounts closed by the Cashier's Office. Includes: Lists of daily payment and receipt transactions, receipts confirmations.	Controller	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Checks	Records of checks received and issued. Includes: Cancelled checks, check stubs, check vouchers, check registers, etc.	Controller	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Checks	See above.	All Other Offices	Retain for 3 years , then shred. Contact Records Management Program for storage in records center and disposal.
Construction Project Financial Records	Financial records related to buildings and facilities construction projects and major renovation projects. Includes: Statements, accounts payable records, etc.	Controller New Campus Development New Campus Financial	Retain for 7 years after project completion , then shred. Contact Records Management Program for storage in records center and disposal. See also "Contracts and Agreements: Construction" above.
Continuing Education Program Expenditure and Revenue Records	Records documenting expenditures (i.e., instructor payments) and revenues (i.e., tuition payments) for Engineering and Science Services and Management Center and other continuing education or training programs.	Controller	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Continuing Education and Training Program Expenditure and Revenue Records	See above.	Engineering and Science Services Management Center Units with Training Programs (Social Research & Desert Development Centers, etc.)	Retain for 5 years , then shred. Contact Records Management Program for storage in records center and disposal. Retain or compile lists of students if these records represent the only listing of course/program completion/attendance.

Type of Record	Description	Office Holding Record	Retention Action
Contracts and Agreements: Construction	Records related to contracts and other agreements between the university and other parties, for the construction and renovation of buildings and other facilities. Includes: Executed contracts and agreements, memoranda of understanding, amendments and addenda, terms and conditions, negotiation documentation, financial documentation, and related documentation and correspondence.	Legal Affairs New Campus Development New Campus Financial Facilities and Operations Controller	Retain for as long as needed , then: Contact Records Management Program for transfer to the University Archives.
Contracts and Agreements: Educational Cooperation	Records related to contracts and other agreements between the university and other parties (such as other universities), related to cooperative and inter-institutional initiatives (such as study-abroad programs). Includes: Proposals, executed contracts and agreements, memoranda of understanding, amendments and addenda, terms and conditions, negotiation documentation, financial documentation, and related documentation and correspondence.	Provost School Deans Vice President for Student Affairs International Programs Legal Affairs All Other Offices	Retain for as long as needed (i.e., until program agreement expires), then: Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.
Contracts and Agreements: Educational Cooperation	Reference copies of contracts.	Controller (Student Accounting)	Retain until contract expires or is superseded .
Contracts and Agreements: Educational Services Provided	Records related to contracts and other agreements between the university and other parties (such as companies or government agencies), to offer courses and training programs. Includes: Executed contracts and agreements, memoranda of understanding, amendments and addenda, terms and conditions, negotiation documentation, financial documentation, and related documentation and correspondence.	School of Continuing Education (Educational Support Services) School of Continuing Education (Divisions)	Retain for 3 years after completion , then shred. Retain or compile summaries/lists of courses or programs offered and lists of students. Contact Records Management Program for storage in records center and disposal.
Contracts and Agreements: Educational Services Provided	See above.	Management Center Engineering and Science Services Legal Affairs Units with Training Programs (Social Research & Desert Development Centers, etc.)	Retain for 7 years , then: Contact Records Management Program for storage in records center and transfer to the University Archives.

Type of Record	Description	Office Holding Record	Retention Action
<p>Contracts and Agreements: Real Estate Property</p>	<p>Records related to contracts, leases, and other agreements between the university and other parties, for the purchase and sale and use of real estate property.</p> <p>Includes: Executed contracts and agreements, leases, memoranda of understanding, amendments and addenda, terms and conditions, negotiation documentation, financial documentation, and related documentation and correspondence.</p>	<p>Legal Affairs</p> <p>Vice President for Finance</p> <p>Facilities and Operations</p> <p>All Other Offices</p>	<p>Retain for as long as needed for leases, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p> <p>Retain for the life of the building or facility for purchases and sales, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
<p>Contracts and Agreements: Vendor Purchases and Sales and Leases</p>	<p>Records related to contracts and other agreements between the university and other parties, for the purchase and sale and use of goods and services.</p> <p>Includes: Executed contracts and agreements, leases, memoranda of understanding, amendments and addenda, terms and conditions, negotiation documentation, financial documentation, and related documentation and correspondence.</p>	<p>Controller</p> <p>Supply Chain Management</p> <p>All Other Offices Administering Contracts</p>	<p>Retain for 7 years after completion, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Credit Card Records</p>	<p>Records of amounts charged to credit card accounts.</p> <p>Includes: Monthly statements, charge slips and payments, and related invoices and documentation.</p>	<p>Controller</p>	<p>Retain for 7 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Credit Card Records</p>	<p>See above.</p>	<p>All Other Offices</p>	<p>Retain for 3 years, then shred.</p>
<p>Endowment and Investment Records: Final Reports</p>	<p>Summary records related to the management of the university's endowment.</p> <p>Includes: Investment company consolidated annual statements, approved budget change forms, etc.</p>	<p>Vice President for Finance</p> <p>Budget & Financial Planning</p> <p>Controller (University Endowment Accounting)</p> <p>University Educational Endowment Fund</p>	<p>Retain for 10 years, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
<p>Endowment and Investment Records: Preliminary Statements and Transaction Documents</p>	<p>Transaction records and periodic statements related to the management of the university's endowment.</p> <p>Includes: Broker slips, investment company monthly statements, donor receipts (i.e., Gift Information Receipt), etc.</p>	<p>Controller (Endowments Accounting)</p> <p>University Educational Endowment Fund</p>	<p>Retain for 7 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>

AUC Records Retention Plan

Section 2: Financial, Procurement, and Legal Records

Type of Record	Description	Office Holding Record	Retention Action
Expenditure and Purchasing Records (Accounts Payable)	Records of expenditures and purchases for goods and services. Includes: Invoices and bills, purchase orders, requisitions, price quotations, payment requests and authorizations (manual warrants, etc.), statements (cash/journal vouchers, etc.), and related documentation and correspondence.	Controller	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Expenditure and Purchasing Records (Accounts Payable)	See above.	Supply Chain Management	Retain for 5 years , then shred. Contact Records Management Program for storage in records center and disposal.
Expenditure and Purchasing Records (Accounts Payable)	See above.	All Other Offices	Retain for 3 years , then shred.
Food Services Records	Financial records related to requesting provision of food services for events.	Controller	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Food Services Records	See above.	All Other Offices	Retain for 3 years , then shred.
Gifts Records	Records of financial or in-kind gifts and donations made to the university and its units. Includes gifts resulting from development campaign activities, library gifts, etc. Includes: Agreements, bequest documents (wills, etc.), terms and conditions and restrictions documents, donor receipts (i.e., Gifts Information Receipt), financial statements and reports, and related documentation and correspondence.	Budget & Financial Planning Development	Retain for as long as needed , then: Contact Records Management Program for storage in records center and transfer to the University Archives.
Gifts Records	See above.	Controller New York Office	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Grant Financial Records (Sponsored Programs)	Records related to the financial management of grants and other sponsored programs supported by outside agencies. Includes: Budget status reports and change forms, contract documents, cash transmittals, vendor invoices and contracts for professional services, financial statements and reports of expenditures to sponsoring agencies, invoices and receipts, travel records, purchase and payment requests and authorizations (manual warrants, etc.), statements (cash and journal vouchers, etc.), final financial reports, and related documentation and correspondence.	Controller (Grants Accounting) Budget & Financial Planning Supply Chain Management New Campus Financial All Other Offices	Retain for 7 years after final financial report accepted (or longer if grant agency requires) , then shred. Contact Records Management Program for storage in records center and disposal.

Type of Record	Description	Office Holding Record	Retention Action
Grant Financial Records (Sponsored Programs)	See above.	Sponsored Programs Principal Investigators	Retain for 7 years after final financial report accepted (or longer if grant agency requires) , then shred. Contact Records Management Program for storage in records center and disposal. Retain final financial report and summary documents for grant budget for future transfer to the University Archives.
Grant Payments Records (AUC-Sponsored Grants for Faculty)	Records of payments of university-sponsored funds for faculty activities (including Conference Grants, Research Grants, Mini Grants, Teaching Enhancement Grants, etc.).	Controller	Retain for 7 years , then shred.
Insurance Claim and Reimbursement Records: Employee Health Insurance	Records of insurance claims for reimbursement for outside (non-AUC Clinic) medical services. Includes: Healthcare provider bills and invoices, payment requests (manual warrants), insurance company claim forms and approvals, payment receipt copies, referral and prescription records, and related documentation and correspondence, etc.	Clinic Human Resources (Benefits)	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Insurance Claim and Reimbursement Records: Employee Life Insurance	Records of insurance claims for life insurance payments. Includes: Payment requests (manual warrants), payment receipt copies, and related documentation and correspondence, etc.	Human Resources (Benefits)	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Insurance Claim and Reimbursement Records: Non-Employee Related	Records of insurance claims for reimbursement for university insurance policies (liability, etc.) unrelated to personnel health, life, or social insurance. Includes: Claim forms, estimates for repairs, accident and police reports, and related documentation and correspondence.	Risk Management and Insurance	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Insurance Policy Records	Documentation related to insurance policies covering university property and liability. Includes: Insurance policies, riders, and endorsements, payment records, and related documentation and correspondence.	Risk Management and Insurance	Retain for 7 years after expiration of policy , then shred. Contact Records Management Program for storage in records center and disposal.

Type of Record	Description	Office Holding Record	Retention Action
Invoices	Bills for goods or services received from outside vendors or issued by the university.		See Expenditure and Purchasing Records (Accounts Payable). See Payments Received Records (Accounts Receivable).
Leases	Agreements between university units and outside vendors and parties for rights to use goods and property (office space, equipment, etc.) for a specified time period. Includes: Lease agreements, amendments and addenda, and related documentation and correspondence.		See Contracts and Agreements.
Legal Advice Records	Documentation of legal opinions and advice on issues of legal concern for the university. Includes: Legal opinions, background information, copies of legislation and legal precedents, and related documentation and correspondence.	Legal Affairs	Retain for as long as needed , then: Contact Records Management Program for storage in records center and transfer to the University Archives.
Legal Case Records	Records of legal actions brought by and against the university. Includes: Background information, evidence files, investigative reports, meeting minutes, pleadings, position statements, legal memoranda and briefs, final decisions, agreements, settlement documents, depositions transcripts, court records, and related documentation and correspondence.	Legal Affairs	Retain for as long as needed after case closed for cases that result in major policy changes, then: Contact Records Management Program for storage in records center and transfer to the University Archives. Retain for 7 years after case and appeals closed for other cases , then shred.
Manual Warrants (Payment Requests)	Documents authorizing or requesting payment.		See Expenditure and Purchasing Records (Accounts Payable). See Payments Received Records (Accounts Receivable).
Payments Received Records (Accounts Receivable)	Records of payments received or owed for services provided. Includes: Invoices and bills, receipts, collection records, statements (cash and journal vouchers, etc.), and related documentation and correspondence.	Controller Supply Chain Management	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Payments Received Records (Accounts Receivable)	For payments to continuing education or training programs, see "Continuing Education and Training Program Expenditure and Revenue Records" above.		
Payments Received Records (Accounts Receivable)	See above.	All Other Offices	Retain for 3 years , then shred.
Payment Requests	See "Manual Warrants."		

Type of Record	Description	Office Holding Record	Retention Action
<p>Payroll Records</p>	<p>Records related to salaries paid to employees.</p> <p>Includes: Monthly salary reports, check records (stubs, etc.), forms and statements for loans, forms and statements for deductions/garnishments from paycheck (alimony payments, etc.), employee registers, payroll/salary adjustment records (action files), change of bank requests (bank address letters), cashier check collection lists, foreign employee tax records (declarations, etc.), benefit plan reconciliations</p> <p>For benefits records and time and attendance records see Section 3: Personnel Records.</p>	<p>Controller (Payroll)</p>	<p>Retain for 7 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Permit and License Records for Buildings and Facilities: Renewed Periodically</p>	<p>Government permits and certifications for university buildings/facilities issued on a periodic basis (i.e., for inspections of elevators, etc.).</p>	<p>Legal Affairs</p> <p>New Campus Development</p> <p>Facilities and Operations</p>	<p>Retain until replaced by current and previous permit, then shred.</p>
<p>Permit and License Records for Buildings and Facilities: Single-Issue</p>	<p>Government permits and certifications for university buildings/facilities, for construction, occupancy, and other purposes, issued on a one-time basis.</p>	<p>Legal Affairs</p> <p>New Campus Development</p> <p>Facilities and Operations</p>	<p>Retain for the life of the building, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
<p>Postal and Courier Service Records</p>	<p>Records of services provided by postal and courier services.</p> <p>Includes: Billing and payment records, forms, etc.</p>	<p>Controller</p>	<p>Retain for 7 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Postal and Courier Service Records</p>	<p>See above.</p>	<p>All Other Offices</p>	<p>Retain for 1 year, then recycle.</p>
<p>Purchase Orders and Requisitions</p>	<p>Requests and authorizations for payment.</p>		<p>See Expenditure and Purchasing Records (Accounts Payable).</p>
<p>Review and Audit Records: External – Fiscal</p>	<p>Records of fiscal audits conducted to monitor university financial operations.</p> <p>Includes: Audit reports (audit letters), responses, and related documentation and correspondence.</p>	<p>Vice President for Finance</p>	<p>Retain for as long as needed, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
<p>Shipping Records</p>	<p>Records related to arrangements and payment for the delivery of goods to AUC units.</p> <p>Includes: Purchase requisitions, bills, invoices, credit card charge slips, other financial records, shipping manifests, bills of lading, delivery note, insurance documents, etc.</p>	<p>Supply Chain Management</p> <p>Controller</p>	<p>Retain for 7 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>

AUC Records Retention Plan

Section 2: Financial, Procurement, and Legal Records

Type of Record	Description	Office Holding Record	Retention Action
Shipping Records: Customs Documentation	Records related to items imported from abroad and held at Egyptian Government customs facilities. Includes: Forms and attached lists and item documentation.	Supply Chain Management	Retain until audited by Egyptian government , shred records older than last audit . Contact Records Management Program for storage in records center and disposal.
Student Financial Aid Records: Payments	Records related to the payment of financial assistance funds to students through scholarship, work-study, and related programs (including Student Development Program). Includes: Check stubs, bank transfer documentation, journal vouchers, cashier records, refund forms, scholarship agreements, and related forms and documentation, etc.	Controller (Payroll, Student Accounting)	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Student Financial Aid Records: Payments	See above.	Human Resources	Retain for 5 years , then shred. Contact Records Management Program for storage in records center and disposal.
Tax Records for U.S. Citizen Employees	Monthly statements of taxes deducted from the salaries of employees who are U.S. citizens.	Controller (Payroll)	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Telecommunications Billing Records	Records related to billing for telecommunications services. Includes: Billing statements, invoices, payment requests and orders, journals, manual warrants, etc.	Facilities and Operations Telecommunications	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Telecommunications Billing Records	See above.	All Other Offices	Retain for 3 years , then shred. Contact Records Management Program for storage in records center and disposal.
Textbook Order Records	Records related to the selection and purchase of course textbooks. Includes: Order forms, book lists, catalogs, and related documentation.	Academic Departments and Programs	Retain for 3 years , then shred forms and recycle lists and catalogs.
Travel Expenditure Records	Records related to authorization, reimbursement, and payment for travel. Includes: Travel authorization forms, per diem requests, airport transfer forms, travel expense receipts, payment requests authorizations (manual warrants), vendor invoices, and related memoranda and correspondence.	Controller (Travel Services)	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.

AUC Records Retention Plan

Section 2: Financial, Procurement, and Legal Records

Type of Record	Description	Office Holding Record	Retention Action
Travel Expenditure Records	See above.	Travel Office All Other Offices	Retain for 3 years , then shred. Contact Records Management Program for storage in records center and disposal.
Tuition Payment Records: Students (Undergraduate, Graduate)	Records related to payment of tuition and fees (and refunds) for academic programs by undergraduate and graduate students. Includes: Payment receipts from banks, deferment forms, and admission acceptance letters, journals (i.e., customer credit memo), payment requests, summary statements for checks paid (i.e., SIS Adjustment Entry Forms), and related memoranda and correspondence..	Controller (Student Accounting)	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Tuition Payment Records: Students in Management Center Programs	Records related to payment of tuition and fees for Management Center programs by individual students, companies, or partner organizations ("approved learning partners"). Includes: Registration forms, contracts, bills, statements/ journals, etc.	Management Center (Finance and Support Services) Management Center (Registration Office)	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Tuition Payment Records: Students in School of Continuing Education Programs (Employer-Paid)	Records related to payment of tuition and fees (and refunds to students) for School of Continuing Education programs funded by outside employers on behalf of their employees. Includes: Student lists, checks, bills, journals (i.e. customer credit memo), copies of personal identification documents, refund payment forms, refund forms, payment requests, etc.	Controller (Student Accounting) School of Continuing Education (Finance and Administration)	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Tuition Payment Records: Summary Documentation	Summary statements (journals, vouchers) of tuition payments made for all academic and continuing education programs.	Controller	Retain for 7 years , then shred.
Utilities Billing Records	Records related to payments made for the provision of utility services (water, electricity, etc.) Includes: Billing statements, invoices, payment requests and orders, journals, manual warrants, etc.	Controller Facilities and Operations	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Vendor Documentation	Records related to vendors of goods and services. Includes: Promotional materials and catalogs, tax and insurance documentation, contact information, related correspondence.	Supply Chain Management (Purchasing - Local, International) All Other Offices	Retain until no longer needed , then shred confidential vendor information (i.e. tax numbers), and recycle publications.

Type of Record	Description	Office Holding Record	Retention Action
<p>Affirmative Action/Equal Opportunity Records</p>	<p>Supporting documentation used to support hiring process activities and as a basis for analyses of affirmative action and equal opportunity planning and monitoring.</p> <p>Includes: Position search recruitment plans, data forms (i.e. racial/ethnic identification reports) for employees, etc.</p> <p>For policies and reports and correspondence see Section 1: Administrative Records and General Documents.</p>	<p>Equal Opportunity and Affirmative Action</p> <p>Provost</p>	<p>Retain for 6 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Attendance and Time Records: School of Continuing Education Instructors</p>	<p>Records of class session attendance by students (“Class Folders”) and for instructor attendance.</p>	<p>School of Continuing Education (Registrar)</p>	<p>Retain for 6 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Attendance and Time Records: Staff and Student Employees</p>	<p>Records documenting attendance and hours worked by staff members and Student Employees.</p> <p>Includes: Attendance forms, time sheets/cards, overtime sheets, leave applications and records, absence reports, substitution schedules, and related correspondence.</p>	<p>Human Resources</p> <p>Controller (Payroll)</p> <p>All Other Offices</p>	<p>Retain for 3 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Counseling Records: Psychological and Psychiatric Services</p>	<p>Records related to clients receiving psychological counseling services.</p> <p>Includes: Case files, notes by care providers (about assessment, diagnosis, treatment, etc.), contact information, and related documentation and correspondence.</p>	<p>Counseling Center</p>	<p>Retain for 15 years after last contact, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Disciplinary Records: Faculty</p>	<p>Records of disciplinary action taken against faculty members for conduct violations.</p> <p>Includes: Notifications, incident reports, petitions and statements by individuals involved, interview and hearing notes and summaries, meeting minutes and notes, committee records, final judgment/decision documents, appeal documents, and related correspondence.</p>	<p>Provost</p> <p>School Deans</p>	<p>Place in Personnel File; see below for handling of “Personnel Files: Faculty.”</p>
<p>Disciplinary Records: Staff</p>	<p>Records of disciplinary action taken against staff members for conduct violations.</p> <p>Includes: Notifications, incident reports, petitions and statements by individuals involved, interview and hearing notes and summaries, meeting minutes and notes, committee records, final judgment/decision documents, appeal documents, and related correspondence and memoranda. May be located in personnel file.</p>	<p>Human Resources</p>	<p>Place in Personnel File; see below for handling of “Personnel Files: Faculty.”</p>

Type of Record	Description	Office Holding Record	Retention Action
Disciplinary Records: Staff	See above.	All Other Offices	Retain for 2 years , then shred.
Employment Application Materials: Administrators Hired	<p>Application materials submitted by position candidates appointed to administrative positions.</p> <p>Includes: Application forms, cover letters, curriculum vitae (c.v.'s), letters of reference, samples of professional work, interview documentation, notes, degree certificates, exam and test results, personal identity documents (like birth certificates), other supporting material, and related correspondence.</p>	President Provost Vice Presidents	Place in Personnel File ; see below for handling of "Personnel Files: Faculty."
Employment Application Materials: Administrators Not Hired	<p>Application materials submitted by position candidates not appointed to administrative positions.</p> <p>Includes: Application forms, cover letters, curriculum vitae (c.v.'s), letters of reference, samples of professional work, interview documentation, notes, degree certificates, exam and test results, personal identity documents (like birth certificates), other supporting material, and related correspondence.</p>	President Provost Vice Presidents	Retain for 3 years , then shred.
Employment Application Materials: Faculty Hired	<p>Application materials submitted by position candidates appointed as faculty members.</p> <p>Includes: Application forms, cover letters, curriculum vitae (c.v.'s), letters of reference, samples of professional work, interview documentation, notes, degree certificates, exam and test results, personal identity documents (like birth certificates), other supporting material, and related correspondence, etc.</p>	Provost Vice Provost School Deans New York Office	Place in Personnel File ; see below for handling of "Personnel Files: Faculty." Retain supplementary material (publications, etc.) for 1 year , then recycle.
Employment Application Materials: Faculty Hired	See above.	Academic Departments and Programs	Place in Personnel File ; see below for handling of "Personnel Files: Faculty."
Employment Application Materials: Faculty Hired (Continuing Education Program Instructors)	<p>Application materials submitted by position candidates appointed as instructors in continuing education programs.</p> <p>Includes: Application forms, curriculum vitae, and related correspondence.</p>	School of Continuing Education Management Center Engineering and Science Services	Retain for 6 years , then shred. Contact Records Management Program for storage in records center and disposal.

Type of Record	Description	Office Holding Record	Retention Action
Employment Application Materials: Faculty Not Hired	Application materials submitted by position candidates not appointed as faculty members. Includes: Application forms, cover letters, curriculum vitae (c.v.'s), letters of reference, samples of professional work, interview documentation, notes, degree certificates, exam and test results, personal identity documents (like birth certificates), other supporting material, and related correspondence.	Provost School Deans Academic Departments and Programs New York Office	Retain for 3 years , then shred. Contact Records Management Program for storage in records center and disposal.
Employment Application Materials: Faculty Not Hired (Continuing Education Program Instructors)	Application materials submitted by position candidates appointed as instructors in continuing education programs. Includes: Application forms and supporting documentation (c.v.'s, etc.), related correspondence.	School of Continuing Education Management Center Engineering and Science Services	Retain for 3 years , then shred. Contact Records Management Program for storage in records center and disposal.
Employment Application Materials: Staff Hired	Application materials submitted by position candidates appointed as staff members.	Human Resources	Place in Personnel File ; see below for handling of "Personnel Files: Staff."
Employment Application Materials: Staff Hired	See above.	All Other Offices	Retain for 3 years , then shred.
Employment Application Materials: Staff Not Hired	Application materials submitted by position candidates not appointed as staff members.	Human Resources All Other Offices	Retain for 1 year , then shred.
Employment Contracts: Faculty (Part-Time)	Contracts between the university and part-time faculty members for teaching assignments.	Vice Provost School Deans Academic Departments and Programs	Retain for 6 years after contract termination , then shred.
Employment Contracts: Faculty (Continuing Education Program Instructors)	Contracts between university continuing education units and instructors for teaching assignments.	School of Continuing Education Management Center Engineering and Science Services	Retain for 6 years after contract termination , then shred. Contact Records Management Program for storage in records center and disposal.
Employment Contracts: Staff	Contracts between the university and staff members.	Human Resources	Place in Personnel File ; see below for handling of "Personnel Files: Staff."
Evaluations/Appraisals: Faculty Members	Evaluations of faculty other than Promotion and Tenure review or their equivalents (i.e., peer reviews).	Provost School Deans Academic Departments and Programs	Place in Personnel File ; see below for handling of "Personnel Files: Faculty."

Type of Record	Description	Office Holding Record	Retention Action
Evaluations/Appraisals: Staff	Annual performance evaluation reports or forms for staff members ("Performance Development Guides").	Human Resources All Other Offices	Place in Personnel File; see below for handling of "Personnel Files: Staff."
Examinations for Staff Members and Staff Position Applicants	Records of testing (skill competency, placement, language skills, etc.) of staff members and applicants for staff positions. Includes: Examination forms (completed), summary results lists, and related documentation and correspondence.	Human Resources School of Continuing Education All Other Offices that Administer Examinations	Place examination results in Personnel File; see below for handling "Personnel Files: Staff." Retain completed exams for 1 year , then shred. Contact Records Management Program for storage in records center and disposal.
Faculty Annual Reports	Reports of activities and achievements prepared annually by faculty members.	Provost School Deans Academic Departments and Programs	Place in Personnel File; see below for handling of "Personnel Files: Faculty." Retain supplementary material (publications, etc.) for 1 year , then recycle.
Faculty Evaluations by Students (Course Evaluations): Individual Surveys	Evaluations of teaching faculty by students enrolled in their courses ("Student Evaluation of Instruction"), in the form of individual survey sheets.	Academic Departments and Programs School of Continuing Education	Retain for 1 year , then shred.
Faculty Promotion and Tenure Files/ Other Review Records	Records submitted by full-time faculty members for consideration for tenured status, promotion, or continuing appointment (i.e., 5-year reviews). Includes: Review committee records (i.e., notes, voting ballots, etc.) and candidate-submitted dossiers containing cover letters, curriculum vitae, publications or other samples of professional work, evaluation letters, teaching evaluation summaries, candidate statements, etc.	Provost School Deans	Place decision summaries, c.v.'s, and related records in Personnel File; see below for handling of "Personnel Files: Faculty." Retain remainder (supporting documents, etc.) for 10 years , then shred . Contact Records Management Program for storage in records center and disposal. For transfer, all files for faculty members who underwent the review process in the same year should be boxed together. See "Committee Records" in Section 1, Administrative Records and General Documents for handling of review committee records.
Faculty Promotion and Tenure Files/ Other Review Records	See above.	Academic Departments and Programs	Place decision summaries, c.v.'s, and related records in Personnel File; see below for handling of "Personnel Files: Faculty." Retain remainder (supporting documents, etc.) 3 years , then shred.

Type of Record	Description	Office Holding Record	Retention Action
Faculty (Relocated Foreign) Support Files for Visas, Personal Property, etc.	<p>Records related to support services provided by the university for foreign relocated faculty, such as the procurement of visas and Egyptian government work permits, and arrangements for the shipping and customs clearance for personal property.</p> <p>Includes: Files organized by faculty member name for visa issues, by faculty member name for shipping of property, foreign faculty members' personal property, organized by faculty name, and annual files for multiple faculty members</p>	Supply Chain Management (Business Support)	<p>Retain files for individual faculty members for 10 years after departure, then shred.</p> <p>Retain annual files for 10 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Faculty Secondment Records	<p>Records documenting approval for faculty members under contract to Egyptian universities to work at AUC, with salary information.</p>	Counselor Vice Provost	<p>Retain for 6 years after contract completion, then shred.</p>
Grievance Records: Faculty	<p>Records of investigations of grievance/complaint actions brought by faculty members.</p> <p>Includes: Petitions, interview and hearing notes, reports, grievance settlement documents, appeal documents, and related correspondence and documentation.</p>	Provost School Deans Academic Departments and Programs Equal Opportunity and Affirmative Action University Senate Grievance Committee	<p>Retain for 6 years after departure (separate from personnel file), then shred.</p>
Grievance Records: Staff	<p>Records of investigations of grievance/complaint actions brought by staff members.</p>	Equal Opportunity and Affirmative Action Office	<p>Retain for 3 years after departure, then shred.</p>
Hiring and Recruiting/ Position Search Records: Administrators	<p>Records related to the recruiting and hiring process for administrator positions.</p> <p>Includes: Position announcements, notes, candidate lists (i.e., short lists), search committee membership lists, selection criteria, interview documentation, and related correspondence.</p>	President Provost Vice Presidents School Deans	<p>Retain for 6 years for executive level positions (President, Provost, Deans, Directors, etc.), then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p> <p>Retain for 3 years materials for other positions, then shred.</p>
Hiring and Recruiting/ Position Search Records: Faculty	<p>Records related to the recruiting and hiring process for faculty positions.</p> <p>Includes: Position announcements, notes, candidate lists (i.e., short lists), search committee membership lists, selection criteria, interview documentation, and related correspondence.</p>	Provost School Deans Academic Departments and Programs	<p>Place position announcements/descriptions and substantial correspondence in Personnel File; see below for handling of "Personnel Files: Faculty."</p> <p>Retain remainder for 3 years, then shred.</p>

Type of Record	Description	Office Holding Record	Retention Action
Hiring and Recruiting/ Position Search Records: Staff	Records related to the recruiting and hiring process for staff positions (not including employment applications). Includes: Position/vacancy announcement files, notes, candidate lists (i.e., short lists), interview documentation, and related correspondence.	Human Resources All Other Offices	Retain for 3 years , then shred.
Insurance Coverage Records: Health and Life Insurance (Egyptian and Foreign)	Records related to health and life insurance coverage for university employees, organized by employee. Includes: Forms and related documentation and correspondence.	Human Resources (Benefits)	Retain for 6 years after departure , then shred. Contact Records Management Program for storage in records center and disposal.
Insurance Coverage Records: Social Insurance (Egyptian Personnel)	Records documenting participation in the Social Insurance system for Egyptian employees. Includes: Forms and certifications.	Controller (Payroll)	Retain for 50 years after hiring , then shred. Contact Records Management Program for storage in records center and disposal.
Insurance Coverage Records: Social Insurance (Egyptian Personnel)	See above.	Human Resources	Place in Personnel File ; see below for handling of "Personnel Files: Staff."
Insurance Coverage Records: Social Insurance (Foreign Personnel)	Records documenting participation in Social Security system for American employees, or other national system for other nationalities.	Controller (Payroll)	Retain for 6 years , then shred.
Job/Position Description, Creation, and Evaluation Records: Staff	Records describing functions and requirements of individual staff positions, relating to establishing new employee positions, and analyzing proposed and existing employee positions.	Human Resources	Place copy for employee in Personnel File ; see below for handling of "Personnel Files: Staff." Retain records used for planning/administration for 6 years , then: Contact Records Management Program for storage in records center and transfer to the University Archives.
Leave Records: Faculty	Records relating to various forms of leave taken by faculty, including academic/sabbatical leave, leave without pay, sick leave, etc. Includes: Request forms, reports, and related documentation and correspondence.	Provost School Deans Academic Departments and Programs	Place in Personnel File ; see below for handling of "Personnel Files: Faculty."

Type of Record	Description	Office Holding Record	Retention Action
Leave Records: Staff	Records relating to various forms of leave taken by faculty, including vacation/holiday leave, leave without pay, sick leave, etc. Includes: Request forms, reports of leave time accrued and used, related memoranda and correspondence, etc.	Human Resources Controller (Payroll Office)	Retain for 3 years , then shred. Contact Records Management Program for storage in records center and disposal.
Leave Records: Staff	See above.	All Other Offices	Retain for 3 years , then shred. Contact Records Management Program for storage in records center and disposal.
Loan Records	Records relating to university referrals for bank loans to employees. Includes: Forms.	Human Resources (Benefits)	Retain until loan settled , then shred. Place clearance note copy in personnel file; see below for handling "Personnel Files:Faculty."
Medical Records: Work-related for Faculty and Staff	Records documenting faculty or staff member work-related medical history. Includes: documentation of work-related injuries or illnesses, Medical examination records, laboratory reports and test results (including X-rays), hazard exposure records, medical incident reports, physician's notes, release forms, treatment records, and related memoranda and correspondence.	Provost School Deans Academic Departments and Programs Human Resources All Other Offices	Retain for 3 years after employee's departure (30 years for hazard exposure records) , then shred. Keep separate from other portions of the employee's personnel records, to meet Americans with Disabilities Act requirements.
Medical Services Records: Faculty and Staff	Records of medical services provided to faculty and staff and their dependents by the AUC Clinic. Includes: Patient charts (manual cards), medical exam records, physician's notes, laboratory reports and test results (including X-rays), immunization and preventative care records, insurance information, related correspondence, etc.	Clinic	Retain for 5 years after last contact (or longer if required by other circumstances) , then shred.
Payroll Records	See Section 2: Financial, Procurement, and Legal Records.		
Personnel Files: Administrators	Records contained in files organized by administrator, documenting their work history at the university. Includes: Application and hiring process materials, personal identity documents and credentials, position descriptions, curriculum vitae (c.v.'s), position offer and appointment documents, personal information forms, salary documentation, promotion and tenure documentation, leave documentation, disciplinary and grievance records, annual reports, performance evaluations, departure records, letters of recommendation, and related correspondence.	President Provost Vice Presidents	Retain for 6 years after departure , then: Contact Records Management Program for storage in records center and transfer to the University Archives.

Type of Record	Description	Office Holding Record	Retention Action
Airport Transportation and Clearing Services	Records of arrangements made for transportation to and from the airport, and entry/immigration clearing services.	Airport Clearing	Retain for 3 years , then shred. See Section 2: Financial, Procurement, and Legal Records for handling of financial records.
Buildings and Facilities Construction and Renovation Project Records	Records related to the construction of university buildings and facilities, as well as major renovations projects (i.e., projects involving historic buildings). Includes: Project proposals and descriptions, feasibility studies, bid requests and notices, contracts and attachments and amendments, specifications and requirements, site maps and studies (including geological samples, etc.), floor plans, layouts, sketches and other drawings (including CAD records), shop drawings, change orders, work logs, structural analyses, progress and other reports, meeting minutes, photographs and audiovisual materials, related documentation and correspondence, etc.. May be contained in Buildings or Project Files.	New Campus Development Facilities and Operations	Retain for the life of the building/facility , then: Contact Records Management Program for storage in records center and transfer to the University Archives. For financial records see "Construction Project Financial Records" in Section 2, Financial, Procurement, and Legal Records
Buildings and Facilities Construction and Major Renovation Project Records	See above.	Vice President for Planning and Administration Vice President for Finance	Retain for 6 years , then: Contact Records Management Program for storage in records center and transfer to the University Archives. For financial records see "Construction Project Financial Records" in Section 2, Financial, Procurement, and Legal Records
Buildings and Facilities Maintenance Records	Records of routine cleaning, gardening, and other maintenance services provided for university buildings and facilities. Includes: Work requests and orders, approval documents, work logs, financial records, and related documentation and correspondence. May be contained in Buildings or Project Files.	Facilities and Operations	Retain for 1 year , then shred.
Buildings and Facilities Permit Records: Renewed Periodically	Government permits and certifications for university buildings/facilities issued on a periodic basis (i.e., for inspections of elevators, etc.). May be contained in Buildings or Project Files	Facilities and Operations	Retain until replaced by current and previous permit , then shred.

Type of Record	Description	Office Holding Record	Retention Action
Buildings and Facilities Permit Records: Single-Issue	Government permits and certifications for university buildings/facilities, for construction, occupancy, and other purposes, issued on a one-time basis. May be contained in Buildings or Project Files.	Legal Affairs New Campus Development Facilities and Operations	Retain for the life of the building , then: Contact Records Management Program for storage in records center and transfer to the University Archives.
Buildings and Facilities/Projects Files	Records documenting university building and facility construction, renovation, and maintenance, organized by each property. Includes: Maps, floor plans, layouts, technical drawings and notes (i.e., utilities, alarm systems), vendor payment records, vendor service records, related documentation and correspondence, etc.	Facilities and Operations	Retain for the life of the building , then: Contact Records Management Program for storage in records center and transfer to the University Archives. See Section 2: Financial, Procurement, and Legal Records for handling of vendor payment records.
Buildings and Facilities Technical Systems/ Utilities Records	Records related to the operation and maintenance of technical systems and utilities (i.e., electrical, water, etc.) in university buildings and facilities. May be contained in Buildings and Facilities/ Project Files. Includes: Operating instructions and manuals, warranties, vendor publications, service contracts, maintenance/repair logs, lease and rental contracts/agreements, vendor invoices, purchase orders, and related documentation and correspondence.	Facilities and Operations	Retain vendor payment records for 3 years , then shred. Retain remainder (manuals, etc.) for the life of the technical system , then recycle.
Computer Equipment/Hardware Documentation	Records of the purchase, use, and maintenance and servicing of computer systems hardware, including computers, servers, input devices (i.e., scanners), and other data processing and storage equipment. Includes: Operating instructions and manuals, specifications, system requirements, configurations, warranties, vendor publications, service contracts, maintenance/repair logs, work orders, lease and rental contracts/agreements, vendor invoices, purchase orders, and related documentation and correspondence.	Computing Units (Academic Computing Services, Administrative Computing Services, Library computing, etc.)	Retain for 3 years after disposition of equipment, then recycle manuals and shred remainder. See Section 2: Financial, Procurement, and Legal Records for handling of vendor payment and purchase records.
Computer Equipment/Hardware Documentation	See above.	All Other Offices	Retain for the life of the equipment , then recycle.

Type of Record	Description	Office Holding Record	Retention Action
Computer Software Documentation (including Licensing)	<p>Records of the purchase, use, and licensing of computer software products used for individual workstations (for example word processing applications, not unit-wide database systems).</p> <p>Includes: Operating instructions and manuals, vendor publications, specifications, system requirements, configurations, license agreements and renewals, license compliance documentation, etc.</p>	<p>Computing Units (Academic Computing Services, Administrative Computing Services, Library computing, etc.)</p>	<p>Retain for 3 years after discontinuation of software use, then recycle manuals and shred remainder.</p> <p>See Section 2: Financial, Procurement, and Legal Records for handling of vendor payment and purchase records.</p>
Computer Software Documentation (including Licensing)	See above.	All Other Offices	Retain until discontinuation of software use , then recycle.
Computer Technical Support Services Records	<p>Records of computing systems services such as installation, maintenance, technical assistance with problems (i.e., help desk inquiries), etc. for hardware and software, provided to university units and personnel.</p> <p>Includes: Request forms and communications (i.e., emails), work orders, request and response logs, reports, notes, etc.</p>	<p>Computing Units (Academic Computing Services, Administrative Computing Services, Library computing, etc.)</p>	Retain for 1 year , then shred.
Computer Technical System Documentation (including Licensing)	<p>Records for computer systems or databases used by an office, for systems developed in-house or by a vendor or contracted system developer (not over-the-counter software packages). These document the system purchase, creation, adoption, modification, structure, maintenance and service.</p> <p>Includes: Operating instructions and manuals, specifications, vendor publications, specifications, system requirements, configurations, charts and layouts, test documentation, license agreements and renewals, license compliance documentation, service contracts, maintenance records, etc.</p>	<p>Computing Units (Academic Computing Services, Administrative Computing Services, Library computing, etc.)</p>	<p>Retain for 5 years after discontinuation of system or when migration occurs, then recycle.</p> <p>Contact Records Management Program for storage in records center and disposal.</p> <p>See Section 2: Financial, Procurement, and Legal Records for handling of vendor payment and purchase records.</p>
Equipment Documentation and Maintenance Records	<p>Records of the maintenance and repair services provided for office and other equipment, not including computers.</p> <p>Includes: Operating instructions and manuals, warranties, vendor publications, service contracts, maintenance/repair logs, lease and rental contracts/agreements, vendor invoices, purchase orders, maintenance documents for specialized units (i.e., Health Services - Clinic, Laboratories) and related documentation and correspondence.</p>	<p>Facilities and Operations Clinic Laboratories</p>	<p>Retain vendor payment records for 7 years for, then shred.</p> <p>Retain remainder (manuals, etc.) for the life of the equipment, then recycle.</p>
Equipment Documentation and Maintenance Records	See above.	All Other Offices	Retain for the life of the equipment , then recycle.

Type of Record	Description	Office Holding Record	Retention Action
Equipment Lease Records	<p>Agreements between university units and outside vendors and parties for rights to use equipment for a specified time period.</p> <p>Includes: Lease agreements and amendments, and related documentation and correspondence for office and other equipment, not including computers.</p>	<p>Legal Affairs</p> <p>Facilities and Operations</p> <p>Controller</p>	Retain for 7 years after completion , then shred.
Equipment Reservation/Use Request Records including Classroom Technology/Audio-visual	<p>Records documenting requests to reserve and use various kinds of equipment, including audio-visual</p> <p>Includes: Request forms, request logs, etc.</p>	<p>Facilities and Operations</p> <p>Classroom Technologies and Media Services</p>	Retain for 1 year , then shred.
Exit Permits	See "Transfer Records for Moving Equipment, Furniture, or Supplies Off Campus."		
Faculty Housing Apartment Records	<p>Records related to each university-provided apartment in which faculty members are housed.</p> <p>Includes: Furniture and contents inventory forms, renovation and maintenance records (work orders, requisitions, etc.), related documentation and correspondence, etc.</p>	Facilities and Operations (Housing)	<p>Retain legal/ownership documents and substantive correspondence for the life of the lease/life of the building, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p> <p>Retain other documents (maintenance, inventory, etc.) for 5 years, then shred.</p>
Food Services Records	See Section 2: Financial, Procurement, and Legal Records.		
Insurance Records for Fixed Assets	<p>Records of insurance policies providing coverage for university fixed assets.</p> <p>Include: Policies, contracts, claims, financial documents, and related documentation and correspondence.</p>	<p>Risk Management and Insurance</p> <p>Legal Affairs</p>	<p>Retain for 7 years after expiration of policy, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Inventory Records: Equipment and Property	<p>Records that document the physical location and disposition of university equipment, furniture, and other property.</p> <p>Includes: Lists, forms (i.e., Physical Inventory Sheets, Stock Cards), inventories for specialized units (i.e., Clinic, Laboratories), related documentation and correspondence.</p>	<p>Supply Chain Management (Inventory)</p> <p>Clinic</p> <p>Laboratories</p>	<p>Retain for 5 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Inventory Records: Equipment and Property	See above.	All Other Offices	Retain for 3 years , then shred.
Inventory Records: Supplies	Records that document the quantity and physical location of supplies (maintenance, office, library, laboratory, etc.).	Supply Chain Management (Inventory, Warehouse)	Retain for 7 years , then shred.
Inventory Records: Supplies	See above.	All Other Offices	Retain as long as needed , then shred.

Type of Record	Description	Office Holding Record	Retention Action
Motor Vehicle Ownership and Maintenance Records	Records of university ownership of motor vehicles and their maintenance history. Includes: Purchase/lease documents, registration documents, warranties, service contracts, maintenance and repair documentation, inspection reports, work orders, manuals, etc., and related documentation and correspondence.	Facilities and Operations	Retain for 3 years after disposition of the vehicle. See Section 2: Financial, Procurement, and Legal Records for handling of vendor payment and purchase records.
Motor Vehicle Reservation/Use Request Records	Forms and other request documents for arranging use of an AUC automobile.	Facilities and Operations	Retain for 1 year , then shred.
Postal and Campus Mail Services	Forms and other request documents for arranging postal and campus mail delivery services. Includes: Register books of mail sent and received, delivery work orders, telegraph records, registered mail files, etc.	Mail Services	Retain for 3 years , then shred. See Section 2: Financial, Procurement, and Legal Records for handling of financial records.
Postal and Campus Mail Services	See above.	All Other Offices	Retain for 1 year , then recycle.
Printing and Duplicating/ Photocopying Records	Forms and other request documents for arranging printing and duplicating services. Includes: Forms, work orders, etc.	Print Shop Copy Centers (Libraries, etc.)	Retain for 3 years , then recycle. See Section 2: Financial, Procurement, and Legal Records for handling of financial records.
Printing and Duplicating/ Photocopying Records	See above.	All Other Offices	Retain for 1 year , then recycle.
Real Estate Property Records: Leased Property	Records of real estate properties leased by the university. Includes: Lease agreements and amendments, and related documentation and correspondence.	Legal Affairs Facilities and Operations	Retain for 7 years , then shred.
Real Estate Properties Records: Owned Property	Records of real estate properties owned, acquired, and disposed by the university. Includes: Purchase and sales agreements, property deeds, leases, title records, memoranda of understanding, other legal documents, and related documentation and correspondence.	Legal Affairs Facilities and Operations	Retain for the life of the building , then: Contact Records Management Program for storage in records center and transfer to the University Archives
Room and Facility Reservation/Scheduling Records	Records related to scheduling the use of AUC classrooms, conference/meeting rooms, halls, outdoor spaces, and other rooms and facilities.	Registrar Facilities and Operations All Other Offices	Retain for 1 year , then recycle.

Type of Record	Description	Office Holding Record	Retention Action
Safety Records: Incident Records	<p>Records documenting incidents concerning accidents (including vehicle accidents), damage, injuries, fire, and other safety violations on, around, or involving university property.</p> <p>Includes: Incident forms and reports, incident logs, statements by involved individuals, etc.</p>	<p>Security</p> <p>Environmental Health and Safety</p> <p>All Other Offices</p>	<p>Retain for 5 years, then shred.</p>
Safety Records: Inspection Records	<p>Records documenting internal inspections to ensure compliance with safety policies and procedures.</p> <p>Includes: Forms, reports, inspection logs, inspection documents for specialized units (i.e., Health Services (Clinic), Laboratories), etc.</p>	<p>Environmental Health and Safety</p> <p>Clinic</p> <p>Laboratories</p>	<p>Retain for 5 years, then shred.</p>
Security Records: Reports and Logs	<p>Records documenting security violations, criminal incidents, and suspicious incidents at the university.</p> <p>Includes: Daily log books and reports (i.e., Daily Duty Books), incident files (including forms and reports, investigation documentation like statements by involved individuals, etc.).</p>	<p>Security</p>	<p>Retain for 5 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Transfer Records for Moving Equipment, Furniture, or Supplies to Campus Storage	<p>Records requesting and authorizing the movement of equipment, furniture, and other items between locations on campus.</p> <p>Includes: Transfer notes, transfer postings, requisitions, receipt notes, etc.</p>	<p>Supply Chain Management</p> <p>Facilities and Operations</p>	<p>Retain for 3 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Transfer Records for Moving Equipment, Furniture, or Supplies Off Campus	<p>Permission documents authorizing the movement of equipment, furniture, and other items off campus, or employees' use of such items off campus.</p> <p>Includes Exit Permits, Employee Clearance Certificates, Personal Custody Permissions, etc.</p>	<p>Supply Chain Management</p> <p>Facilities and Operations</p> <p>All Other Offices</p>	<p>Retain for 3 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Work Orders/Requests for Services	<p>Records of requests for maintenance services, minor renovation and remodeling projects, or routine repair work performed for university buildings and facilities.</p>	<p>Facilities and Operations</p>	<p>Retain for 5 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Work Orders/Requests for Services	<p>See above.</p>	<p>All Other Offices</p>	<p>Retain for 1 year, then shred.</p>

Type of Record	Description	Office Holding Record	Retention Action
<p>Accreditation Review Records: Schools, Academic Departments and Programs</p>	<p>Records of formal accreditation reviews of academic programs or units by external accrediting bodies.</p> <p>Includes: Applications and supporting response documentation assembled for accreditation review process, accreditation body reports and visit records, and related documentation and correspondence.</p>	<p>Provost</p> <p>School Deans</p> <p>Academic Departments and Programs</p>	<p>Retain until end of next accreditation cycle, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p> <p>See Section 1: Administrative Records and General Documents, for handling institutional accreditation materials.</p>
<p>Catalog Change Records</p>	<p>Records related to the proposal and approval process for program and course changes, as presented in the university catalog.</p> <p>Includes: Proposals for establishing and changing programs (i.e., majors, minors, and specializations) and courses, proposals for alterations in department and program descriptions, copies of catalog text, reports, and related documentation and correspondence.</p>	<p>Provost</p> <p>School Deans</p> <p>University Senate</p>	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
<p>Catalog Change Records</p>	<p>See above.</p>	<p>Vice Provost (Catalog Production staff)</p> <p>Academic Departments and Programs</p>	<p>Retain for 5 years, then recycle.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
<p>Contracts and Agreements: Educational Cooperation</p>	<p>Records related to contracts and other agreements between the university and other parties (such as other universities), related to cooperative and inter-institutional initiatives (such as study-abroad programs).</p> <p>Includes: Proposals, executed contracts and agreements, memoranda of understanding, amendments and addenda, terms and conditions, negotiation documentation, financial documentation, and related documentation and correspondence.</p>	<p>Provost</p> <p>School Deans</p> <p>Vice President for Student Affairs</p> <p>International Programs</p> <p>Legal Affairs</p> <p>All Other Offices</p>	<p>Retain for as long as needed (i.e., until program agreement expires), then:</p> <p>Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.</p>
<p>Contracts and Agreements: Educational Cooperation</p>	<p>Reference copies of contracts.</p>	<p>Controller (Student Accounting)</p>	<p>Retain until contract expires or is superseded.</p>

Type of Record	Description	Office Holding Record	Retention Action
<p>Contracts and Agreements: Educational Services Provided</p>	<p>Records related to contracts and other agreements between the university and other parties (such as companies or government agencies), to offer courses and training programs.</p> <p>Includes: Proposals, tenders and bids, contracts and agreements (i.e., SCE Instructional Agreements), memoranda of understanding, amendments and addenda, terms and conditions, negotiation documentation, financial documentation, and related documentation and correspondence.</p>	<p>School of Continuing Education (Proposals Unit, Educational Support Services, Divisions)</p>	<p>Retain for 3 years after completion, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p> <p>Retain or compile summaries/lists of courses or programs offered and lists of students.</p>
<p>Contracts and Agreements: Educational Services Provided</p>	<p>See above.</p>	<p>Management Center</p> <p>Engineering and Science Services</p> <p>Units with Training Programs (Social Research Center, Desert Development Center, etc.)</p> <p>Legal Affairs</p>	<p>Retain for 7 years, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
<p>Course and Degree Program Proposal Records</p>	<p>See "Catalog Change Records" above.</p>		
<p>Course and Degree Program Proposal Records: Continuing Education Programs</p>	<p>Records related to the proposal and approval process for establishing or changing programs and courses for continuing education and special training programs.</p> <p>Includes: Proposal and authorization forms (i.e., SCE Curriculum Information and Verification forms) and supporting documents, and related documentation and correspondence.</p>	<p>School of Continuing Education (Educational Support Services, Proposals Unit, Divisions)</p>	<p>Retain for 2 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p> <p>Retain or compile summary reports and/or lists about programs and courses proposed and approved, and retain in administrative files for future transfer to the University Archives.</p>
<p>Course and Degree Program Proposal Records: Continuing Education Programs</p>	<p>Records related to the proposal and approval process for establishing or changing programs and courses for continuing education and special training programs.</p> <p>Includes: Memoranda of understanding, worksheets, cost sheets, notes, and related documentation and correspondence.</p>	<p>Management Center</p> <p>Engineering and Science Services</p>	<p>Retain for 5 years, then:</p> <p>Contact Records Management Program for transfer to the University Archives; records covering several years may be transferred at one time.</p>

Type of Record	Description	Office Holding Record	Retention Action
Course Description Records: Syllabi, etc.	Records describing the content of courses. Includes: Course proposals, syllabi and other course outlines and descriptions, reading lists, handouts, sample examinations and assignments, grading and evaluation criteria, class lists, and related documentation and correspondence.	Academic Departments and Programs Continuing Education programs All Other Offices	Retain for as long as needed , then: Contact Records Management Program for storage in records center transfer to the University Archives. Samples of syllabi will be retained by the archives.
Course Evaluations	See "Faculty Evaluations by Students" in Section 3: Personnel.		
Course Scheduling Records	Records documenting the scheduling of courses. Includes: Published class schedule and supplements, schedule change documentation (like low enrollment justification forms), draft schedules and other working papers, and related documentation and correspondence.	Registrar	Retain routine forms for 5 years , then shred. Contact Records Management Program for storage in records center and disposal. Retain for 5 years planning documents and published schedules and supplements, then: Contact Records Management Program for storage in records center transfer to the University Archives.
Course Scheduling Records	See above.	School Deans Academic Departments and Programs	Retain for 2 years routine forms, then shred. Contact Records Management Program for storage in records center and disposal. Retain for 5 years planning documents and published schedules and supplements, then: Contact Records Management Program for storage in records center transfer to the University Archives.
Course Scheduling Records: School of Continuing Education	Records documenting the scheduling of courses. Includes: Forms (i.e., Course Notification Worksheets, etc.).	School of Continuing Education	Retain for 2 years , then shred. Contact Records Management Program for storage in records center and disposal.
Examinations: Uncompleted Question Sheets	Any kind of uncompleted examination question sheets.	Academic Departments and Programs SCE Divisions All Other Offices	Retain for as long as needed , then shred; first: Contact Records Management Program for storage in records center and transfer of samples to the University Archives.

Type of Record	Description	Office Holding Record	Retention Action
<p>Faculty Academic Leave Records (Sabbaticals, etc.)</p>	<p>Records documenting the approval of faculty academic leaves such as sabbaticals and pre-tenure leaves.</p> <p>Includes: Committee meeting minutes and records, proposals, final research reports, etc.</p>	<p>Provost School Deans Academic Departments and Programs</p>	<p>Place summary documentation in Personnel File; see Section 3: Personnel Records for handling of "Personnel Files: Faculty."</p> <p>See "Committee Records" in Section 1: Administrative Records and General Documents for handling of remainder.</p>
<p>Faculty Grant (AUC funded) Applications and Records for Scholarly Activities (Conferences, Research, etc.)</p>	<p>Applications and supporting documents for internal AUC grant support for faculty activities such as conference attendance, research projects, teaching initiatives, etc. These include "Conference Grants," "Research Grants," "Teaching Enhancement Grants," "Mini Grants," etc.. Includes School of Continuing Education professional development grants.</p> <p>Includes: Application forms and supplemental materials (like samples of faculty work), proposals, etc.</p>	<p>Provost Vice Provost School Deans School of Continuing Education Academic Departments and Programs</p>	<p>Retain for 5 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p> <p>Retain or compile award lists and summaries of conferences attended, research projects, etc. in administrative files for future transfer to the University Archives.</p>
<p>Grant Records (Externally Funded/ Sponsored Programs): Awarded</p>	<p>Records of grants awarded to university units and personnel by outside funding agencies.</p> <p>Includes: Proposals, award documents, internal status reports (i.e., Award Summary Change forms), narrative reports, final reports and other deliverables (books, manuals, etc.), consultant documentation, budgets and financial documents, and related documentation and correspondence.</p>	<p>Sponsored Programs All Other Offices</p>	<p>Retain for 7 years proposal, award documentation, final research report/deliverable, and final financial report, and significant correspondence with granting agency, then:</p> <p>Contact Records Management Program for storage in records center for transfer to the University Archives.</p> <p>Retain remainder for 7 years after final financial report accepted (or longer if grant agency requires), then shred.</p> <p>See "Grant Financial Records (Sponsored Programs)" in Section 2: Financial, Procurement, and Legal Records, for handling of financial records.</p>
<p>Grant Records (Externally Funded/ Sponsored Programs): Awarded</p>	<p>See above.</p>	<p>Principal Investigators</p>	<p>Retain for 7 years after final financial report accepted (or longer if grant agency requires), then shred.</p> <p>See "Grant Financial Records (Sponsored Programs)" in Section 2: Financial, Procurement, & Legal Records for handling financial records.</p>

Type of Record	Description	Office Holding Record	Retention Action
Grant Records (Externally Funded/ Sponsored Programs): Unfunded Proposals	Records of grant proposals to outside funding agencies which were not funded. Includes: Proposals, drafts, and related documentation and correspondence.	Sponsored Programs Academic Departments and Programs	Retain for 3 years , then shred.
Human Subjects Research Review Records	Documentation of compliance reviews for research proposals involving the use of human subjects. Includes: Research proposals, copies of grant proposals, applications for approval, samples questionnaire and survey forms, consent forms, review committee meeting minutes and records, and related documentation and correspondence.	Sponsored Programs	Retain for 7 years after project completion (1 year for unawarded grant proposals) , then shred.
Library Use Forms: Interlibrary Loan	Request forms for use of AUC library materials by outside users.	Main Library	Retain for 4 years , then shred.
Library Use Forms: Special Collections Material	Request forms for use of rare books and special collections materials.	Rare Books and Special Collections Library	Retain for 4 years , then: Contact Records Management Program for storage and transfer to the University Archives.
Library Registration Forms: Visitors: Main Library	Applications and registration forms for use of library services.	Main Library	Retain for 2 years , then shred. Contact Records Management Program for storage in records center and disposal.
Library Registration Forms: Visitors: Rare Books and Special Collections Library	Applications and registration forms for use of library services.	Rare Books and Special Collections Library	Retain for 4 years , then: Contact Records Management Program for storage and transfer to the University Archives.
Research/Survey Response Forms: Scholarly Research	Completed response forms for questionnaires and survey research, used for generating journal articles and other scholarly research products.	Academic Departments and Programs Social Research Center All Other Offices	Retain for as long as needed , then shred. Contact Records Management Program for storage in records center and disposal.
Syllabi	See "Course Description Records: Syllabi, etc." above.		
Teaching and Course Materials Produced by AUC	Instructional materials produced by AUC units or personnel for use in all kinds of courses. Does not include copies of readings and other teaching materials from outside sources.	Academic Departments and Programs School of Continuing Education Divisions	Retain for as long as needed , then shred; first: Contact Records Management Program to transfer samples to the University Archives.

Type of Record	Description	Office Holding Record	Retention Action
Admission Applications for Continuing Education or Training Program Students	Application materials for admission to continuing education or special training programs. Includes: Application forms and credentials, registration documents, payment information, etc..	School of Continuing Education Registrar Management Center Registration Office Engineering and Science Services Units with Training Programs (Social Research & Desert Development Centers,etc.)	Retain for 1 year , then shred. Contact Records Management Program for storage in records center and disposal.
Admission Applications for Graduate Students: Accepted and Enrolled	Applications for admission to academic programs for graduate students who were admitted and enrolled. Includes: Application forms, transcripts and certificates, test scores, letters of recommendation, personal statements and essays, and related documents and correspondence.	Registrar	Retain as Permanent in student file. Contact Records Management Program for storage in records center or University Archives.
Admission Applications for Graduate Students: Accepted and Enrolled	See above. May be found in Academic Department Student Files.	Academic Departments and Programs	Retain for 7 years , then shred.
Admission Applications for Graduate Students: Not Accepted, Did Not Enroll, or Incomplete	Applications for admission to academic programs for graduate students who were not accepted, accepted but did not enroll, or who did not complete the application process. Includes: Application forms, transcripts and certificates, test scores, letters of recommendation, personal statements and essays, and related documents and correspondence.	Admissions Office Academic Departments and Programs	Retain for 2 years , then shred. Contact Records Management Program for storage in records center and disposal. Retain original certificates and other documentation according to Admissions Office policy.
Admission Applications for non-Degree Students: Accepted and Enrolled	Applications for admission to non-degree programs (i.e., language study, study-abroad, etc.; not continuing education programs) for students who were admitted and enrolled. For AUC students studying at other universities, see below. Includes: Application forms, transcripts and certificates, test scores, letters of recommendation, personal statements and essays, and related documents and correspondence.	Registrar	Retain as Permanent in student file.
Admission Applications for non-Degree Students: Accepted and Enrolled	See above.	Academic Departments and Programs (i.e., Arabic Language Institute, CASA)	Retain for 7 years , then shred.
Admission Applications for non-Degree Students: Accepted and Enrolled	See above.	International Programs	Retain for 2 years , then shred.

Type of Record	Description	Office Holding Record	Retention Action
Admission Applications for non-Degree Students: Not Accepted, Did Not Enroll, or Incomplete	Applications for admission to non-degree programs (i.e., language study, study-abroad, etc.; not continuing education programs) for students who were not accepted, accepted but did not enroll, or didn't complete the application process. For AUC students studying at other universities, see below. Includes: Application forms, transcripts and certificates, test scores, letters of recommendation, personal statements and essays, and related documents and correspondence.	New York Office Academic Departments and Programs (i.e., Arabic Language Institute)	Retain for 2 years , then shred.
Admission Applications for Undergraduate Students: Accepted and Enrolled	Applications for admission to academic programs for undergraduate students who were admitted and enrolled. Includes: Application forms, transcripts and certificates, test scores, letters of recommendation, personal statements and essays, and related documents and correspondence.	Registrar	Retain as Permanent in student file. Contact Records Management Program for storage in records center or University Archives.
Admission Applications for Undergraduate Students: Not Accepted, Did Not Enroll, or Incomplete	Applications for admission to academic programs for undergraduate students who were not accepted, or who were accepted but did not enroll, or who did not complete the application process. Includes: Application forms, transcripts and certificates, test scores, letters of recommendation, personal statements and essays, and related documents and correspondence.	Admissions Office New York Office	Retain for 2 years , then shred. Contact Records Management Program for storage in records center and disposal. Retain certificates and other documentation according to Admissions Office policy.
Advising Records	Forms and other records relating to academic advising for undergraduate and graduate students. May be located in Academic Department Student Files. Includes: Advising forms (i.e., Course planning cards, Freshman Advising Office Tentative advising form), lists of students advised (i.e., FAO Advising registers), etc.	Freshman Advising Office Academic Departments and Programs	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Attendance Records: School of Continuing Education	Records of class session attendance by students ("Class Folders").	School of Continuing Education	Retain for 5 years , then shred. Contact Records Management Program for storage in records center and disposal.
Course Enrollment Lists	Lists of students enrolled in courses.	Academic Departments and Programs	Retain for 1 year , then destroy.
Diplomas and Certificates: Uncollected	Certificates documenting a student's completion of a degree or program.	Registrar School of Continuing Education (Registrar)	Retain as Permanent . Contact Records Management Program for storage in records center and transfer to the University Archives.

Type of Record	Description	Office Holding Record	Retention Action
Disciplinary Records for Student Academic Integrity Violation Cases	Records of investigations and disciplinary action involving students charged with academic integrity violations (cheating, plagiarism, and other academic misconduct). Includes: Notifications, incident reports, petitions and statements by students, interview and hearing notes and summaries, meeting minutes and notes, committee records, final judgment/decision documents, appeal documents, and related correspondence and memoranda.	Provost Academic Departments and Programs	Retain for 7 years , then shred. Contact Records Management Program for storage in records center and disposal.
Disciplinary Records for Student Academic Integrity Violation Cases	See above. Includes: Notes for academic actions and summary documents.	Registrar	Retain as Permanent in student file.
Disciplinary Records for Student Academic Standing Cases	Records of disciplinary action involving students failing to meet university or academic program academic standards (see above for academic integrity violations). Actions include probation, suspension, dismissal, leaves, withdrawal, etc. Includes: Notifications, petitions and statements by students, interview and hearing notes and summaries, meeting minutes and notes, committee records, judgment/ decision documents, appeal documents, and related correspondence and memoranda. May be contained in student files.	Provost School Deans Registrar Academic Departments and Programs	Retain as Permanent in student file.
Examinations (Completed) and Assignments Not Retrieved by Students	Examinations with written responses to questions and other completed and graded assignments not retrieved by students. Includes: Examination papers, answer sheets and response books (blue books), essay papers, etc.	Academic Departments and Programs Faculty Members	Retain for 1 year , then recycle. Follow department policy for non-paper based assignments (audio and video recordings, photographs, drawings/paintings and sculpture, posters, models, etc.).
Examinations (Completed) and Assignments for Proficiency, Placement, and Exemptions	Examinations with written responses to questions and other completed and graded assignments completed for subject proficiency, placement, or course exemption purposes.	Academic Departments and Programs School of Continuing Education All Other Offices	Retain for 1 year after end of academic year, then discard. Keep sample copies of uncompleted examinations for future transfer to the archives.
Grade Lists	Lists of student grades by course.	Registrar	Retain for 10 years , then: Contact Records Management Program for storage in records center and transfer to the University Archives.
Grade Lists	See above.	Academic Departments and Programs	Retain for 2 years , then shred.

Type of Record	Description	Office Holding Record	Retention Action
<p>Grievances by Students Records</p>	<p>Records of grievances or complaints concerning academic matters brought by students against the university, its units, or faculty members.</p> <p>Includes: Petitions, interview and hearing notes, grievance settlement documents, appeal documents, change of grade forms, and related correspondence and memoranda.</p>	<p>Provost Academic Departments and Programs</p>	<p>Retain for 7 years, then shred.</p>
<p>Registrar Approval/ Permission Records and Forms</p>	<p>Approval/permission forms, petitions and other records documenting the progress of and changes in a student's academic program, including the following activities:</p> <p><u>Course Registration and Enrollment</u> Includes: Forms and other documentation for course registration, course enrollment and withdrawal (add-drop), course schedule overload permission, graduate course (500 level) enrollment, course repeat, individual study, auditing, special status admission, late payment, etc.</p> <p><u>Degree and Course Requirement Changes</u> Includes: Forms and other documentation for credit transfers, course substitutions, degree requirement waivers (language requirement, etc.), course requirement waivers (prerequisites, etc.), time extensions, incomplete course completion permissions, etc.</p> <p><u>Degree Program Definition and Changes</u> Includes: Declaration and change for majors, minors, and specializations, dual or multiple major or degree adoption, graduation applications, etc.</p> <p><u>Separations from the University</u> Forms and other documentation for withdrawals, leaves of absence, etc.</p> <p><u>Grade Appeals</u> Change of Grade forms.</p>	<p>Registrar</p>	<p>Credit transfer documentation, Grade change documentation: Retain as Permanent in student file.</p> <p>Separation documentation (withdrawals, leaves): Retain for 10 years, then shred.</p> <p>Declaration and changes of majors/minor documentation: Retain for 10 years, then shred.</p> <p>Course add-drop, graduate course enrollment, course repeat, individual study, and special status admission documentation: Retain for 10 years, then shred.</p> <p>Auditing documentation: Retain for 5 years, then shred.</p> <p>Overload permission and late payment documentation: Retain for 2 years, then shred.</p> <p>Time extensions, incomplete course completion documentation: Retain for 1 year, then shred.</p>

Type of Record	Description	Office Holding Record	Retention Action
Registrar Approval/ Permission Records and Forms	See above.	School Deans Academic Departments and Programs	Retain for 7 years , then shred. Retain routine enrollment forms (i.e., add-drop) for 1 year and then shred. Contact Records Management Program for storage in records center and disposal. Retain or compile lists of majors/minors for future transfer to the University Archives.
Registrar Approval/ Permission Records and Forms	See above.	School of Continuing Education Management Center Engineering and Science Services	See other applicable portions of Section 6.
Student Files: With Academic Departments and Programs	Folders for individual students (undergraduate, graduate, or other) containing records documenting their academic career at the university/in the program. Includes: Folder contents such as admission application and selection materials, registration records, academic status change forms and petitions, advising records, scholarship and fellowship records, transcripts and grade reports, examinations/assignments and results (i.e., comprehensive exams), thesis proposals, evaluations, recommendation letters, other academic progress documents, and related correspondence. These records may be found elsewhere in the department, as originals or duplicates.	Academic Departments and Programs	Retain for 7 years after student's graduation/departure , then shred. Contact Records Management Program for storage in records center and disposal. For transfer, all files for students who graduated/ departed in the same year should be boxed together. Disciplinary and medical information should be stored separately from academic-related material.
Student Files: With Registrar	Folders for individual students (undergraduate, graduate, or other) containing records documenting their academic career at the university/in the program. Includes: Application Form/Readmission Form, Acceptance Letters, Recommendation Letter(s), Certificates of Work Experience, Routing Sheet, Tracking Sheet, Non- computerized academic records for students admitted before 1988, Graduation Certificate (School & College levels), University Transcripts, International Examination Slips/ Transcripts (TOEFL, GMAT, GRE, SAT, etc.), Birth Certificate, Passport/National ID Photocopy, Transfer Credit Approvals, Personal Photos, Notes for Academic Actions.	Registrar	Retain as Permanent . Contact Records Management Program for storage in records center and transfer to the University Archives.

Type of Record	Description	Office Holding Record	Retention Action
<p>Student Records: Continuing Education and Training Programs</p>	<p>Records other than transcripts certifying a student's completion of a program or a course.</p> <p>Includes: Student lists, student information forms (i.e. School of Continuing Education personal data forms), etc.</p>	<p>School of Continuing Education (Registrar)</p> <p>Management Center</p> <p>Engineering and Science Services</p> <p>Units with Training Programs (Social Research Center, Desert Development Center, etc.)</p>	<p>Retain as Permanent.</p> <p>If payment documents are the only record of completion, keep or compile lists of students as the record.</p>
<p>Study-Abroad Program Records: AUC Students Attending Other Universities</p>	<p>Applications and related records related to an AUC student's participation in study-abroad programs at other universities. For records of students attending AUC as study-abroad program participants, see "Admission Applications for non-Degree Students: Accepted and Enrolled" and "Admission Applications for non-Degree Students: Not Accepted, Did Not Enroll, or Incomplete" above.</p> <p>Includes: Application forms, transcripts and certificates, test scores, letters of recommendation, personal statements and essays, and related documents and correspondence.</p>	<p>International Programs</p>	<p>Retain for 2 years, then shred.</p>
<p>Theses</p>	<p>Final and accepted copies of theses completed for fulfillment of graduate degree requirements, or for other course or program requirements.</p>	<p>Academic Departments and Programs</p>	<p>Retain for as long as needed, then recycle after contacting Library Collection Development Department to ensure that the Library has a copy.</p>
<p>Transcript and Certificate Requests</p>	<p>Records of requests by a student or former student for the Registrar's office to issue a copy of his or her transcript, enrollment forms, or other credentials.</p>	<p>Registrar</p> <p>School of Continuing Education Registrar</p> <p>Management Center</p> <p>Engineering and Science Services</p>	<p>Retain for 1 year and then shred.</p>

Type of Record	Description	Office Holding Record	Retention Action
Alumni Information Records	<p>Data forms and other records of personal and contact information for AUC alumni.</p> <p>Includes: Information sheets and forms, lists, biographical information, etc.</p>	<p>Alumni and Trustee Affairs</p> <p>All Other Offices</p>	<p>Retain for as long as needed, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p>
Athletics/Sports Permission Records	<p>Records authorizing or denying students to participate in university-sponsored athletics activities or to use university sports facilities.</p> <p>Includes: Applications for participation in athletics activities and gymnasium use, permission forms, medical forms, etc.</p>	<p>Sports Office</p>	<p>Retain for 3 years, then shred.</p>
Awards and Honors Records	<p>Records of the selection of students for awards and honors for academic, athletic, service, or other achievement.</p> <p>Includes: Documentation on the establishment and funding of award programs, eligibility and selection criteria documents, promotional material and publications, announcements and calls for applications and nominations, applications and supporting documents (i.e., transcripts, c.v.'s, essays, recommendations, etc.), nomination letters, notifications to award recipients or unsuccessful candidates, lists of applicants, nominees, finalists, and recipients, award event documentation including recipient speeches, and related documentation and correspondence.</p>	<p>Selection Committees</p> <p>Academic Departments and Programs</p>	<p>Retain materials used to evaluate and select candidates for 3 years, then shred.</p> <p>Retain as Permanent the remainder, especially award recipient lists, statements and speeches, and publications, for future transfer to the University Archives.</p>
Career Placement Records: Student Credentials	<p>Student credential documentation forwarded to employers or maintained for forwarding upon student request.</p> <p>Includes: Files containing transcripts and certificates, personal information sheets and resumes, academic credentials, advising notes, letters of recommendation, student release forms and requests for forwarding credentials to employers, etc. May be contained in individual student credentials files or within files for employers.</p>	<p>Career Advising and Placement Services</p>	<p>Retain for 10 years after departure, then shred.</p>
Contact Information Records	<p>Records of student contact information, including forms/lists with mailing and email addresses, telephone numbers, etc.</p>	<p>All Offices</p>	<p>Retain for as long as needed, then shred.</p>
Counseling Records: Psychological and Psychiatric Services	<p>Records related to clients receiving psychological counseling services.</p> <p>Includes: Case files, notes by care providers (about assessment, diagnosis, treatment, etc.), contact information, and related documentation and correspondence.</p>	<p>Counseling Center</p>	<p>Retain for 10 years after last contact, then shred.</p>

Type of Record	Description	Office Holding Record	Retention Action
<p>Disciplinary Records for Student Cases: Non-Academic Misconduct</p>	<p>Records of non-academic disciplinary action taken against students for conduct violations.</p> <p>Includes: Notifications, incident reports, petitions and statements by students, interview and hearing notes and summaries, meeting minutes and notes, committee records, final judgment/decision documents, appeal documents, and related documentation and correspondence.</p>	<p>Provost Vice President for Student Affairs (Student Conduct Unit) School Deans Student Development Academic Departments and Programs Student Disciplinary boards (Student Judicial Board)</p>	<p>Retain for 7 years, then shred.</p>
<p>Disciplinary Records for Student Cases: Non-Academic Misconduct</p>	<p>See above.</p>	<p>Registrar</p>	<p>Retain as Permanent in student file.</p>
<p>Fellowship, Assistantship, and Special Scholarship Records</p>	<p>Records related to the selection and awarding of fellowships, assistantships, and special scholarships.</p> <p>Includes: Application forms and supporting documents (c.v.'s, transcripts, recommendations, essays etc.), nominations, notifications to recipients or unsuccessful candidates, lists of applicants, nominees and recipients, documents related to recipient performance/activities, and related documentation.</p> <p>For related records see Section 2: Financial, Procurement, and Legal Records and Section 3: Personnel Records.</p>	<p>Provost Selection Committees LEAD Office Academic Departments and Programs Student Financial Affairs</p>	<p>Retain for 5 years after award, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p> <p>Retain lists of recipients with administrative records for future transfer to the archives.</p>
<p>Grant Records: AUC-Sponsored Grants</p>	<p>Proposals and other documentation for university-sponsored funding for conference attendance, research projects, event planning, etc.</p> <p>Includes: Applications and supporting documentation, and related documentation and correspondence.</p>	<p>Provost Vice Provost Academic Departments and Programs All Other Offices</p>	<p>Retain for 7 years, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p> <p>Retain or compile lists of grant recipients and their projects for future transfer to the University Archives.</p>
<p>Grievances by Students Records</p>	<p>Records of non-academic grievance/complaint actions brought by students against the university, related to conduct by students and university personnel, affirmative action and equal opportunity, services (housing, etc.), and other issues.</p> <p>Includes: Petitions, interview and hearing notes, settlement and appeal documents, and related correspondence.</p>	<p>Equal Opportunity and Affirmative Action Vice President for Student Affairs</p>	<p>Retain for 7 years, then shred.</p>

Type of Record	Description	Office Holding Record	Retention Action
Grievances by Students Records	See above.	All Other Offices	Retain for 3 years , then shred.
Housing, Dining, and Transportation Program Records	Records related to student participation in university-sponsored housing, dining, and transportation programs. Includes: Student applications and agreements, participant lists, and related documentation and correspondence.	Student Housing Zamalek Dormitory	Retain for 3 years , then shred.
Medical Services Records	Records of medical services provided to students by the AUC Clinic. Includes: Patient charts (manual cards), medical examination records, physician's notes, laboratory reports and test results (including X-rays), immunization and preventative care records, insurance information, related correspondence, etc.	Clinic	Retain for 5 years after last contact , then shred. Contact Records Management Program for storage in records center and disposal.
Permissions for Activity Participation	Forms and other documents submitted for permission to take part in activities or travel or to attend field trips and other events.	All Offices	Retain for 3 years , then shred.
Release and Waiver Records	Records that release the university or units from liability for activities involving students, such as sponsored field trips and other events. Includes: Waiver, hold harmless, and release forms and related documentation and correspondence.	All Offices	Retain for 3 years , then shred.
Student Financial Aid Records: Deferments	Records related to financial assistance for students in the payment deferments.	Student Financial Affairs Student Services	Retain for 5 years after award , then shred. Contact Records Management Program for storage in records center and disposal.
Student Financial Aid Records: Loans	Records related to financial assistance for students in the form of loans. Includes: Application forms, amended information forms/petitions, check copies, and related documentation.	Student Financial Affairs Student Services	Retain for 5 years after award , then shred. Contact Records Management Program for storage in records center and disposal.
Student Financial Aid Records: Scholarships (Achievement-Based)	Records related to financial assistance for students in the form of scholarships awarded in recognition of academic, athletic, cultural, or other achievement. Includes: Application forms and supporting documents (i.e., certifications of academic and athletic achievement transcripts, recommendations, etc.), notifications to recipients or unsuccessful candidates, and other related documentation.	Student Financial Affairs	Retain for 5 years after award , then shred. Contact Records Management Program for storage in records center and disposal. Retain lists of recipients with administrative records for future transfer to the archives.

Type of Record	Description	Office Holding Record	Retention Action
Student Financial Aid Records: Scholarships (Need-Based and Affiliation-Based)	<p>Records related to financial assistance for students in the form of need-based and affiliation-based (parents employed by AUC) scholarships.</p> <p>Includes: Application forms and supporting documents (parental financial information documents, parental AUC-affiliation forms like faculty and staff scholarship forms), notifications to recipients or unsuccessful candidates, amended information forms/petitions, and other related documentation.</p>	Student Financial Affairs	<p>Retain for 5 years after award, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p> <p>Retain lists of recipients with administrative records for future transfer to the archives.</p>
Student Financial Aid Records: Scholarships (Special)	See "Fellowship, Assistantship, and Special Scholarship Records" above.		
Student Financial Aid Records: Work Study Program	<p>Records related to financial assistance for students in the form of work-study employment compensation.</p> <p>Includes: Application forms, time sheets, evaluations, and related documentation.</p>	Student Financial Affairs	<p>Retain for 5 years after award, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Student Financial Aid Records: Work Study Program	See above.	All Offices employing Work-Study participants	Retain for 3 years , then shred.
Student (Foreign) Support Files for Visas, Permits, etc.	<p>Records related to support services provided by the university for foreign students, such as the procurement of visas and Egyptian government residence permits.</p> <p>Includes: Student data forms, copies of personal identity documents (passports, etc.), Egyptian Ministry of Higher Education approval documents, student lists, and related documentation and correspondence, organized by student name and annual files for multiple students.</p>	Supply Chain Management (Business Support)	<p>Retain for 7 years after departure, then shred.</p> <p>Contact Records Management Program for storage in records center and disposal.</p>
Student Organization Records	<p>Records related to student organizations at AUC, maintained by university units as well as by student organizations.</p> <p>Includes: Constitutions and by-laws, membership lists, policies and procedures (like handbooks), correspondence, memoranda, planning documents, reports by and about the organization, meeting minutes, financial records, publications and promotional material (magazines, announcement and event flyers, posters, etc.), photographs and other audio-visual records, memorabilia, etc.</p>	Student Development, Office of Student Organizations (i.e., Student Union, Model UN, etc.)	<p>Retain for 2 years, then:</p> <p>Contact Records Management Program for storage in records center and transfer to the University Archives.</p> <p>See Section 2: Financial, Procurement, and Legal Records for handling of budget and purchasing/expenditures records.</p>