



Policies and Procedures

**Policy Title: Office of Information
Record Retention**

**Policy No.: 7025 Rev.: 0
Effective Date: September 21, 2011
Last Revision: September 21, 2011**

Responsible Office: Office of Information Technology
Responsible Official: Associate Vice President for Technology & CIO

Contents

Scope.....	1
Policy Statement	1
Reason for the Policy	2
Definitions.....	2
Policy Sections.....	2
7025.1 Record Retention	2
7025.2 Exception for Documents Relevant to Litigation or Claims.....	2
7025.3 Disposal.....	3
7025.4 Minimum Retention Periods for Specific Categories.	3

Scope

This policy applies to all University of New Haven faculty, staff and employees. It governs the management, handling, and destruction of all University Records.

Policy Statement

The University of New Haven requires that identified records be retained for specific periods of time and that those records be destroyed on a specified schedule and in an acceptable manner. This policy applies to all records regardless of their form – be it paper, electronic or other.

Reason for the Policy

The purpose of this policy is to effectively manage University records and comply with legal standards for record retention and the maintenance of privacy,

Definitions

Electronic Mail

Electronic communication provided over the university network.

Record

All recorded information, regardless of physical form. Records include: any stored information, document, or image created, developed, or received by any academic, clinical, or administrative office of the University in the course of conducting University business or in pursuance of the University's legal obligations.

Policy Sections

7025.1 Record Retention

Federal and State law and regulation require varying record retention procedures. The appropriate time periods vary dramatically based on very specific types of records in light of applicable law and regulation – all of which is subject to change. Minimum retention periods for identified categories of records are identified in the Minimum Retention Period for Specific Categories section below.

7025.2 Electronic Mail Retention.

The University of New Haven has developed an email retention strategy meet retention requirements as well as to improve our ability to recover lost or deleted email. Please refer to the Office of Information Technology Email Usage and Retention Policy for further information regarding the retention of University email.

7025.3 Exception for Documents Relevant to Litigation or Claims.

If any employee believes or is informed that certain Records are or may be relevant to litigation or potential litigation (i.e. a dispute that is reasonably likely to result in litigation), then all involved employees must preserve those Records until it is determined that the records are no longer needed. *This exception supersedes any previously or subsequently established destruction schedule or policy for such records.*

7025.4 Disposal.

In general, when the destruction or disposal of a Record is called for or the applicable retention period has expired, such Record shall be destroyed and such destruction should, where confidential information is potentially involved, include shredding of paper records or erasing or permanently destroying electronically stored data.

7025.5 Minimum Retention Periods for Specific Categories.

<i>General Record Type</i>	<i>Description</i>	<i>Retention Period</i>
Organizational Documents	Articles of Incorporation, Bylaws; IRS Form 1023; Board of Governors	Permanent
Tax Records	Payroll documents; expenses; proof of donor activity; audit materials; accounting procedures and other revenue records	7 years from filing of applicable return
Banking, Accounting & Finance	Bank reconciliations, statements, deposit slips and checks	3 years
	Accounts payable ledgers & schedules including procurement and expense materials	7 years
	Audit reports	Permanent
	Grant & Contract Administration	7 years after the final payment or completion of

		all obligations under the grant or contract
	Summary records such as proposals, award letters and reports	Permanent
	Institutional Review Board & Human and Animal Subject records	6 years after the conclusion of work or research
	Patents	Permanent
	Contracts	Executed or finalized contracts – 7 years after contract expiration
	Construction & other real property contracts	Permanent
	Insurance	Permanent
	Financing documents including debt & bond documents	Permanent
	All other documents	Until administrative use ceases
Human Resources	Personnel Records (including payroll, benefit plan/programs, and/or other human resources	10 years after last date of employment

	records not otherwise specifically provided for)*	
	Search materials	3 years following the successful hire or close of search without hire
	Retirement & pension records	Permanent
	Policies & procedures	10 years after last effective date
	Health & Safety – Hazardous Exposure Records	30 years after last date of employment
Student Records	Official grades, transcripts and official records**	Permanent
	Health clinic and counseling records and other student records	7 years after graduation or withdrawal

*Official faculty tenure and promotion files are retained permanently in the University archives.

**The University registrar maintains a current list of the items that constitute the official student record.