

University of Oregon Records Management Program Records Retention Schedule – **DRAFT**

Version September 17, 2018

Please report changes to recordsmgr@uoregon.edu.

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Introduction

As a public body, the University of Oregon has a responsibility to “ensure orderly retention and destruction of all public records” and “the preservation of public records of value for administrative, legal and research purposes.”¹

Records

The University Records Management Policy, among other things, establishes the definition of records, and should be reviewed by all University of Oregon employees. Records

- are not media specific; they may be digital (for example, e-mail, .pdf, data and metadata) or physical (for example, paper, audiotape, microfilm, CDs, DVDs, film).
- document key activities, programs, decisions, or milestones; and/or money received, managed, or spent; and/or the rights or responsibilities of UO or its personnel
- do not all need to be kept for the same amount of time.

The Records Retention Schedule (RRS)

The University of Oregon uses an organization wide Records Retention Schedules (“RRS”), presented in this document, to guide its recordkeeping. The RRS does not prescribe a filing structure. It provides timeframes, responsibilities, and handling instructions and labels for tagging content.

The RRS presents information using the following conventions:

- **Records Series** Records grouped by activity and requirements. Each Series has a heading and a brief description and/or list of the kinds of material that make it up. Where present, the lists are not exhaustive.
- **Office of Record** The program, unit, or department accountable for maintaining reliable, complete, and accessible records in the given series for the duration of assigned retention period.
 - Being named the Office of Record is not always synonymous with having physical custody of the material. In cases where third parties are used to store or manage data that are records, the Responsible Office(s) remain(s) accountable as described above.
 - More information about responsibilities for responsible offices can be found in the [Records Maintenance section](#) of the program’s website.
- **Retention and Disposition Instructions** Minimum time to keep records in the series and what happens when that time has been met, disposal method (Recycle or Delete; Shred or Erase; Coordinate with University Archives), and any other special handling required, as is the case with vital records.

When does the RRS not apply?

Disposal activities should be halted in case of an impending audit, litigation, major organizational restructuring, or public records request

Personal records and some other material are outside scope for the RRS.

Learn more by reviewing the University Records Management Policy.

- These instructions are based on government regulations, funding agency rules, UO Policies, Collective Bargaining Agreements, and professional standards and best practices.

The RRS is organized into five functional sections:

- I. Governance
- II. Academics, Instruction and Research
- III. Administration of Student Affairs
- IV. Finance, Administration and Infrastructure
- V. Human Resources

While some of the section headings resemble department names, it is important to keep in mind that they represent functions, not departments.

Example: an academic department will find information about records that pertain to its work not only in the 2. Academics, Instruction and Research but also sections 4. Finance, Administration and Infrastructure, and 5. Human Resources.

The retention schedule includes a list of references that link to laws, regulations, standards, and best practices that inform the established retention rule.

The Records Management Program has guidelines and advice for how to organize files and is available to meet with employees to discuss specific needs.

University Records Retention Schedule

I. Governance

Records series listed under this category document university governance roles, structures, and strategies.

I-01. Governance and Board Affairs

I-01-01. Governance Records

Document the by-laws, constitution, and shared governance roles by the President, professors and University constituencies.²

Retention and Disposition Instructions

Maintain 10 years after current year, and then transfer to University Archives.³

Office of Record

Office of the University Secretary

I-01-02. Board of Trustees Meeting Records

Document policies, standards, directives and other actions approved by the Board of Trustees or a committee of the Board as appropriate ("Board actions").

- Meeting agendas, notes, minutes
- Studies, Reports and Recommendations
- Resolutions and enactments
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – maintain 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Maintain 10 years after current year, and then transfer to University Archives.⁴

Office of Record

Office of the University President

I-01-03. University Senate Records

Document the proceedings and actions of the faculty senate.

- Governance documents and by-laws - 10 years after amended, and then transfer to University Archives
- Meeting agendas, notes, minutes
- Studies, Reports and Recommendations
- Resolutions and enactments
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – maintain 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Maintain 10 years after current academic, unless otherwise indicated, then and then transfer to University Archives

Office of Record

University Senate

I-01-04. University Committees, Councils and Advisory Groups Records

Document the work of groups established by the University President. See [Research](#) section for External Review Boards, Committees, and Councils that review, approve, and monitor research. See section Academics, Instruction, and Research for Curriculum Committee.

- Meeting agendas, notes, minutes
- Studies, Reports and Recommendations
- Resolutions and enactments
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – maintain 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Maintain 10 years after current academic year, unless otherwise indicated and then transfer to University Archives. Retain working files 3 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Office of the University President

I-02. Legal Affairs

I-02-01. Legal Matters and Cases

Document litigation brought by or against the University of Oregon.

- Notices of claim or litigation
- Pleadings
- Final decisions
- Summary statements
- Substantive memoranda, correspondence, and subject files

Retention and Disposition Instructions

Maintain 10 years after final decision or until business use ceases for cases resulting in major policy modifications, and then transfer to University Archives; 6 years after final decision for all other records, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁵

Office of Record

Office of General Counsel

I-03. Policies and Directives

I-03-01. University Policies Records

Document development policies, standards and directives approved by the President of the University regarding matters within the authority of the President ("Presidential actions").

Retention and Disposition Instructions

Maintain 10 years after policy superseded, and then transfer to University Archives.⁶

Office of Record

University Secretary

II. Academics, Instruction and Research

Records series listed under this classification document the following activities undertaken by the university in pursuit of its mission:

- development, presentation, and evaluation of courses of study for credit, continuing education, and non-credit programs matriculated and non-matriculated students;
- acquisition and management of library, archives, or other scholarly research or teaching collections;
- research project proposals, funding, ethics.

For records related to doctoral internships in the Counseling Center, or Grade Book and Student Exams/Papers Records Series, see [III. Administration of Student Records](#) section. For faculty and instructors personnel matters, see [V. Human Resources](#) section.

II-01. Curriculum and instruction

II-01-01. Program Planning

Document development of programs of study for credit, continuing education, and non-credit programs. See section on [University Senate](#) for UO Committee on Courses (UOCC) records.

- Course evaluation statistics and other assessment data
- Curriculum reports⁷
- Meeting minutes and reports of department/college/school curriculum committees
- Proposals for the addition of new, changes to, or discontinuation of courses or programs – maintain 3 years after determination for proposals denied, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁸
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – maintain 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention

Maintain 5 years after current academic year, unless otherwise indicated, and then transfer to University Archives.

Office of Record

Student Services and Enrollment Management: Continuing and Professional Education for non-credit instruction

Academic Affairs: Departments/Colleges/Schools for credit instruction

II-01-02. Articulation Agreements

Document formal arrangements with other postsecondary institutions for transfer of coursework and credits.

Retention and Disposition Instructions

Maintain 10 years after expiration of agreement, and then transfer to University Archives.⁹

Office of Record

Any signatory office

II-01-03. Guides, Catalogs, and Bulletins

Document course and/or program information for credit, continuing education, and non-credit programs, including student and faculty handbooks, course catalogs, schedule of classes and bulletins

- Related substantive documentation and correspondence – maintain 5 years after current academic year in which the event was held¹⁰, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.
- Working files and logistics documentation and correspondence - maintain 1 years after current academic year in which event was held, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Transfer 2 copies of final production/published event program to the University Archives.¹¹

Office of Record

Any unit publishing the work.¹²

II-01-04. Preparing and Presenting Academic Courses

Document preparation and presentation of individual courses. For instructional equipment loans, see Equipment Loans in section IV. Business Affairs.

- Syllabi, assignments, and rubrics
- Textbook or reading packet orders - 1 year, then recycle or delete.
- Presentations
- Requests for rooms and time changes to course: classroom reservations; combined examinations times for duplicate sections of the same course; course maintenance, used to change the time of, or cancel a course¹³ - maintain 1 year, then recycle or delete.

Retention and Disposition Instructions

Maintain 3 years after current academic year, or until superseded or obsolete then shred paper and/or overwrite data or physically destroy storage media holding electronic records.¹⁴

Office of Record

Academic Affairs: Departments/Colleges/Schools

Student Services & Enrollment Management: Office of the Registrar for requests for rooms and time changes to course material

II-01-05. Course Evaluations Records

Document student evaluation of courses.¹⁵ Beginning Fall 2007, the University of Oregon implemented an online course evaluation system purchased from CollegeNet, Inc., to replace the Scantron evaluation forms formerly in use.¹⁶

- Data and reports

Retention and Disposition Instructions

Maintain 5 years after end of term for data and reports, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any office retaining data or reports.

II-01-06. Programming Special Academic Events

Document the planning and execution of ceremonies (e.g. convocation, commencement), and conferences, colloquia, speaker series and similar events hosted by UO or its programs. For requests to serve alcohol, see [Risk Management](#).

- Related substantive documentation and correspondence – maintain 5 years after current academic year in which the event was held¹⁷, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.
- Working files and logistics documentation and correspondence - maintain 1 years after current academic year in which event was held, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Transfer 2 copies of final production/published event program to the University Archives.¹⁸

Office of Record

Any unit arranging the event.

II-01-07. Grade, Degree and Enrollment Statistics

Document quantitative information about attendance and completion of studies.¹⁹

- Degrees granted by institution per graduation term and/or annually
- Per term report of enrolled students, e.g. by class, by course, totals, headcount and FTE
- Report of student enrollment, graduation and other metrics by race and ethnic origin
- Grade distribution and other grade statistics Report of grades given including summary grade point statistics by class.²⁰

Retention and Disposition Instruction

Maintain in perpetuity.

Office of Record

Student Services & Enrollment Management: Office of the Registrar

II-01-08. Accreditation Records

Document material created expressly for university or program evaluation by external organizations.

- Self-evaluations
- Final accreditation reports
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence - 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

10 years after academic current year, and then transfer to University Archives.²¹

Office of Record

President's Office for Regional Accreditation

Academic Affairs: Departments/Colleges/Schools for Professional Accreditation Records

II-02. Appointments, promotion and tenure

See 5. Human Resources

II-03. Faculty

For employment related records, see section [V. Human Resources](#).

II-04. Faculty Records

See UO Policy.

II-05. Academic Freedom

- For records related to policy, see section [I. Governance](#)
- For records related to decision-making, see section [II-03-01. Faculty Senate Records](#).
- For records related to grievances having to do with violations of academic freedom, [see section V. Human Resources](#)

II-06. Research, general

II-06-01. Sponsored Research

Document the development and management of externally funded research projects. Proprietary data or materials must be labeled as such by the research sponsor before release to University researchers per UO Policy.

- Proposals and reviews
- Project plan and budgets
- Financial and accounting records, including invoices and payments
- Award and technical documentation
- Contracts and agreements
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence - 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Maintain 3 years after submission of the final financial report, or other agency guidelines, whichever is longer, unless otherwise indicated, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.²²

Office of Record

Sponsored Project Services

Principal Investigators

II-06-02. Institutional Research Grants Program Records

Document the activities of university groups that award research grants to faculty, students, or staff.²³ Proprietary data or materials must be labeled as such by the research sponsor before release to University researchers per UO Policy.

- Funding criteria
- Applications and applicant supporting documents – maintain 5 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.
- Meeting agendas and minutes of the selection committee*
- Final research reports*
- Funding summaries – maintain 5 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.
- Award letters
- Related substantive documentation and correspondence

- Working files and logistics documentation and correspondence - 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention

Maintain 10 years after submission of final research reports, unless otherwise noted, and then transfer to University Archives.

Office of Record

Any awarding program

Principal Investigators

II-06-03. Review Boards and Committees - Protection of Human Subjects

Document the review of research proposals that involve any type of use of human subjects.

- Copies of all research proposals reviewed, including scientific evaluations, if any, that accompany the proposals
- Approved sample consent documents
- Progress reports submitted by investigators
- Reports of injuries to subjects
- Minutes of IRB meetings minutes with sufficient detail to show attendance at the meetings
- Actions taken by the IRB; the vote on these actions including the number of members voting for, against, and abstaining
- The basis for requiring changes in or disapproving research
- A written summary of the discussion of controverted issues and their resolution
- Continuing review activities
- Correspondence between the IRB and the investigators a list of IRB members²⁴
- Written procedures for the IRB²⁵
- Statements of significant new findings provided to subjects²⁶
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain 3 years after submission of the final financial report, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.²⁷

Office of Record

Research and Innovation: Research Facilities and Services: Research Compliance Service

II-06-04. Review Boards and Committees - Institutional Animal Care and Use

Document the care and proposed use of animals by the University for research and teaching activities. Must include but not limited to:

- Protocols
- Copy of Public Health Service (PHS) approved assurance
- Institutional Animal Care and Use Committee (IACUC) meetings minutes, records of attendance, activities, and deliberations
- Applications, proposals, and proposed significant changes in the care and use of animals and whether IACUC approval was given or withheld
- Semiannual IACUC reports and recommendations (including minority views) as forwarded to the institutional official
- Accrediting body determinations
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain 3 years after completion of activity, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.²⁸

Office of Record

Research and Innovation: Research Facilities and Services: Animal Welfare Services

II-06-05. Review Boards and Committees - Institutional Biosafety Committee

<https://safety.uoregon.edu/institutional-biosafety-committee>

II-06-06. Investigator Financial Conflict of Interest Disclosure Records

Document required reporting and disclosures (“declarations”) by grant applicants of any financial arrangements with sponsor(s) of the studies (e.g. royalties) and “interests in the product under study or sponsor entity.”²⁹

Retention and Disposition Instructions

Maintain 3 years after the date of the final expenditure report³⁰

Office of Record

Research and Innovation: Research Facilities and Services: Research Compliance Service

II-06-07. Research Misconduct Records

Document research misconduct proceedings. May include but not limited to:

- Allegations statements
- Inquiry committee findings
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain 7 years after completion of the proceeding or the completion of any PHS proceeding involving the research misconduct allegation, whichever is later, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.³¹

Office of Record

Research and Innovation: Vice President of Research and Innovation³²

II-07. Innovation, tech transfer and economic development

II-08. Museums

II-08-01. Collections Management Records

Document appraisal, acquisition, insurance, cataloging, processing, storage, transfer, and display. Use Exhibits for records related to displays of materials from the collection. For interlibrary loans, see [Libraries](#) section.

- Acquisition plans proposals and approvals
- Deeds of gift or other transfer documentation
- Accession, provenance, and registration records
- Facilities reports
- Condition reports
- Loan files

- Preservation and conservation reports
- Appraisal, accession, provenance, registration, and deaccession records
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – maintain 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Maintain in perpetuity, unless otherwise indicated³³

Office of Record

Academic Affairs: Library: Special Collections

Museums

II-08-02. Public Programming, Education, and Exhibits

II-09. Libraries

See Public Safety and Risk Services section for Incident Reports. See Museums for records related to the care of primary source material, special collections, and archives. See Finance and Administration: Business Affairs for records associated with the operations of the library and departments, special events, and fundraising.

II-09-01. Library Collections Management

Acquisitions and licensing of content for material other than special collections and archives.

II-09-02. Library Circulation Records

Document usage and circulation of the library collections and interlibrary loans. See 2-18. Museums for library special collections loan records. Includes Interlibrary loan records, and borrowers records.

Retention and Disposition Instructions

Maintain 2 years after current year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Academic Affairs: Library

III. Administration of Student Affairs

Document application, selection, admission, academic progress, and extracurricular activities of; conferment of degrees to; and extramural activities, and auxiliary services for students.

III-01. Conduct and Student Activities

For policies see section [I. Governance](#)

III-01-01. Community Standards Program Records

Document the activities of the Community Standards Program.³⁴

- summary of the business of the Community Standards Committee

- a report of the disposition of each disciplinary case handled by any person or group authorized to impose disciplinary sanctions in the name of the University

Retention and Disposition Instructions

7 years after graduation

Office of Record

Director of Student Conduct and Community Standards³⁵

III-01-02. Student Conduct Violations Records

Disciplinary action file resulting from conduct violations case referrals. If the Student is found not responsible for the complaints, the disciplinary file will become void. Includes Student Academic Misconduct.

Retention and Disposition Instructions

Maintain 7 years after graduation or date of last attendance for student conduct reports³⁶; 1 year after close for “voided files,” then shred paper and/or overwrite data or physically destroy storage media holding electronic records.³⁷

Maintain in perpetuity those records relating to the suspensions and/or expulsion of a student.

Office of Record

Dean of Students

III-01-03. Discrimination Complaint and Response Records³⁸

See V-01. Affirmative Action and Equal Opportunity

III-02. Housing and residence life

III-02-01. Safety, Maintenance, and Protection Records

Records generating activities “B. (2) The safety of individuals, protection of state property, and maintenance of standards involving public health and sanitation are the responsibility of the Director of University Housing.”³⁹

III-03. Tuition and student fees

See 4. Finance and Administration: Business Affairs for collection of tuition and student fees, use 5. Human Resources employee files for records of courses audited as per UO Policy III.03.01 Tuition and Fee Policy Book.

III-04. Student health services

This section also includes retention rules for records of non-students who have visited Student Health Services. For medical records association with Intercollegiate Athletics, see 3-07. Intercollegiate Athletics; for other Insurance Policies, see 4-05. Public safety and risk services.

III-04-01. Intake Logs

Document potential clients or patients who visit any of the student health, mental health or wellness centers for services.

Retention and Disposition Instructions

3 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

III-04-02. Health Related Services Client Records

Document provision of speech therapy; cholesterol screenings; hearing tests; or other health-related services to clients on an outpatient basis.

Retention and Disposition Instructions

Maintain 7 years after last service or until client reaches age 21, whichever is longer, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁴⁰

Office of Record

Any

III-04-03. Health Records, Non-Students

Document provision of medical services, such as allergy shot, vaccines, and blood pressure checks, to non-students.

Retention and Disposition Instructions

Maintain 7 years after last service or until client reaches age 21, whichever is longer, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Student Health Center

III-04-04. Health Records, Students

Document medical services provided to students.

- Lab or other test results
- Treatment records
- Diagnosis sheets
- Health history/screening
- Initial evaluation/assessment
- Referrals
- Health center billing statements
- X-rays
- Related release forms, and/or requisitions with narrative of radiologist notes

Retention and Disposition Instructions

Maintain 7 years after last service or until client reaches age 21, whichever is longer, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Student Health Center

III-04-05. Treatment Records, Designated Record Set

Document clinical assessment and treatment of mental health issues. Also known as the Designated Record Set. For description of “Designated Record Set”, see <http://library.ahima.org/doc?oid=104008#.WtKUKXrwaUI>

Retention and Disposition Instructions

Maintain 7 years after last contact, then shred paper and/or overwrite data or physically destroy storage media holding electronic records. APA; FERPA Treatment Records; “Designated Record Set”, see <http://library.ahima.org/doc?oid=104008#.WtKUKXrwaUI>

Office of Record

Counseling and Testing Center

III-04-06. Immunization Records

Document compliance with immunization requirements by the University and the Oregon State Health Division.⁴¹

Retention and Disposition Instructions

Maintain 10 years for immunization log sheets and annual reports, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Maintain 7 years after last service for all other records, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Maintain 5 years after application for admission to the university for proof of immunization or waiver submitted by students who do not enroll

Maintain 1 year after application for admission to the university for proof of immunization or waiver submitted by students who do not enroll

Office of Record

Student Health Services

III-04-07. Laboratory Test Requests

Document physician orders for laboratory tests for students receiving services at the student health center.

Retention and Disposition Instructions

Maintain 2 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Student Health Services

III-04-08. Pharmacy Prescription Dispensation Records

Document medication dispensation and refills administered by the department as required by the Oregon State Pharmacy Board.

Retention and Disposition Instructions

Maintain 3 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

- Prescription slips
- In-house computer-generated rx registers

- Controlled substance reports
- Database purge reports

Office of Record

Student Health Center

III-04-09. Student Health Insurance Records

Document plan administration.

Retention and Disposition Instructions

Maintain 2 years after expiration of policy

Office of Record

Intercollegiate Athletics for Student-Athletes; Office of Vice President of Finance Graduate Teaching Fellows

III-04-10. Patient and Client Satisfaction Surveys

III-04-11. Training records, counseling and clinical psychology

Document APA Accredited counseling and clinical psychology training records

III-04-12. Credentialing and Licensure

Document annual peer and performance reviews. Document the professional and regulatory issuance of credentials to individuals and facilities providing health, mental health and wellness services.

Retention and Disposition Instructions

Maintain 3 years after current year then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

III-04-13. Vaccines/Immunization Provider Training

“At least once every two years, certify that employees of the entity have completed a training session approved by the authority on the storage, handling and administration of vaccines.”

III-04-14. Medical Equipment Maintenance Quality Assurance Monitoring Logs

Document in-house inspection of laboratory equipment at daily, weekly, and/or monthly intervals.

- Checklist of all equipment; calibrations; and conditions.
- Refrigerator Temperature logs (daily -stores vaccines and medication - now have an electronic system)
- Eyewash Unit checks (by week)
- Oxygen Tanks (PSI monitoring) (by month)
- Inventory review for outdated supplies, instruments, medication (by month)
- Ambient Temperature Logs (Daily)

Retention and Disposition Instructions

Maintain 2 years after business use ceases, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Student Health Center

III-04-15. Radiographic Quality Assurance Records

Document the setting of measurable standards and procedures for radiographic safety and quality.

- Reports by the radiographic staff
- Quality assurance committee notes
- Staff reviews

Retention and Disposition Instructions

Maintain 3 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Safety and Risk Services

III-04-16. Instrument Sterilization Records

Document the sterilization of instruments used by the student health center. This series may include but is not limited to autoclave recording charts and log sheets indicating date; load number; items sterilized; and temperature/time settings.

Retention and Disposition Instructions

Maintain 1 year after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Student Health Center

III-05. Student records

For student billing, see section Finance and Administration: Business Affairs

III-05-01. Admissions Records

Document application process for admission or re-admission to undergraduate, graduate, international, non-degree/special admittance. For immunization records, see Student Health Center. See also [International Student Records](#).

- Acceptance/denial/waitlist letter or notification (until terminated)
- Applications for admission
- Credit by examination reports/scores (e.g. Advanced Placement, CLEP, PEP) 5 years after graduation
- Entrance examination reports/scores (Standardized test scores, e.g. ACT/SAT, LSAT, GRE, TOEFL)
- Letters of recommendation for admittance
- Letters of recommendation - waivers of rights to access (until terminated, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.)
- Military documents
- Residency classification forms
- Transcripts (high school and/or other colleges)

Retention and Disposition Instructions

1 year after application for applicants who do not enroll, 5 years after date of graduation or term and year of last attendance for students who do enroll, unless otherwise indicated by note next to record type in the series description, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

III-05-02. Admissions Records, Law School

Follow the guidelines provided by the National NLSO National Network of Law School Officers.⁴²

III-05-03. Student Academic Records – Academic Program Records

- Academic advisement records - 2 years after graduation
- Academic warning and/or suspension related to academic nonperformance/deficiency - 5 years after graduation
- Academic Dismissal - Permanent
- Academic Integrity Code Violations - Permanent
- Academic Records such as narrative evaluations, competency assessments - Permanent
- Leave of absence - 2 years
- Major changes - 5 years after graduation
- Petitions (academic) - 4 years
- Thesis and dissertations - Permanent
- Transcripts - Permanent

Retention and Disposition Instructions

Maintain in perpetuity, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

III-05-04. Student Academic Records – Certification/Verification Records

For documentation of Student-Athlete certification and eligibility, see section [Intercollegiate Athletics](#)

- Enrollment verifications - 1 year after very
- Residency verification records - 6 years after submission
- Teacher certifications - 1 year after certification
- Transcript requests (official transcript request by student) – 1 year after date of submission
- VA certification - 3 years after graduation

Retention and Disposition Instructions

Maintain for time indicated, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

III-05-05. Student Academic Records – Degree and Certificate Records

- Application for degree or other credential
- Degree audit records (for graduation clearance)
- Diplomas
- Graduation lists - Permanent
- Substitutions/waivers (approvals to meet program requirements with administrative action)

Retention and Disposition Instructions

5 years after date of graduation or term and year of last attendance for students who do enroll, unless otherwise indicated by note next to record type in the series description, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

III-05-06. Student Academic Records – Grades and Scholarship

- Exams/final/graded coursework – 1 year after course completion
- Grade appeal/complaint – 1 year
- Grad book (faculty) – 5 years after course complete
- Grade change forms – 5 years after graduation
- Grade reports (final) – record of grades released to students – 1 year after distribution date
- Grade reports (midterm) – record of mid-term grades submitted by faculty – end of term

Retention and Disposition Instructions

Retain for the amount of time indicated next to the record types, in the description section, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

III-05-07. Student Records Data

- Data change logs - Electronic log of changes to enrollment and other data, including date/time stamp information and user that changed data if that data is maintained separately in system - 10 years
- Enrollment data – Electronic record of enrollment in classes, including records of drop, add and enrollment change activity - 10 years
- Grade data – Electronic record of submitted grades and grade changes, including date/time stamp and user data – Permanent
- Student demographic information - Electronic student data including student characteristics, date of birth, former names, address information, photo ID and ethnic information – 50 years

Retention and Disposition Instructions

Retain for the amount of time indicated next to the record types, in the description section, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

III-05-08. International Student Records

Document mandatory government reporting for enrolled students from countries other than the United States.⁴³ For courtesy appointments of scholars from countries other than the US, see section [V. Human Resources](#)

- Copies of immigration documents, including certificates of eligibility (I-20s and DS-2019s), visas, passport ID pages, employment authorization cards, I-94 admission records, US Homeland Security / US Department of State applications and notices
- Advising notes
- Supporting documents relating to immigration status, e.g., medical documentation
- University forms used by students to request immigration or related benefits, such as leave of absence and withdrawal requests, reduced course load authorizations, Social Security eligibility verification, practical training / employment authorization requests,
- Applications for J-1 status (for exchange students and J-1 student interns), including internship/training placement plans (DS-7002) and third-party agreements (for J-1 student interns)
- Data and documents are required and collected either through SEVIS, USCIS or CBP
- Related substantive documentation and correspondence

Retention and Disposition Instructions

1 year after admission for DS-2019 (Certificate of Eligibility for J-1); 3 years after the student is no longer pursuing a full course of study or date of denial of reinstatement for F-1 reporting; 3 years from completion of visitor's program, then shred paper and/or overwrite data or physically destroy storage media holding electronic records. for J-1 reporting. 5 years after graduation for all others.

Responsible Office

Academic Affairs: International Student and Scholar Services

III-05-09. FERPA (Family Educational Rights and Privacy Act) Records

- Request for Formal Hearing
- Request and Disclosure of Personally Identifiable Information
- Student Request for Non-disclosure of Directory Information (until terminated by student)
- Student Statement on Content of Records re Hearing Panel Decision
- Student's Written Consent for Records Disclosure (until terminated by student)
- Waivers for Rights to Access (until terminated by student)
- Written Decisions of Hearing Panels

Retention and Disposition Instructions

Permanent, unless otherwise indicated by note next to record type in the series description, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Permanent, unless otherwise indicated (*).

III-06. Scholarships and financial aid

Document financial support of student education from governmental and private sources.

III-06-01. Scholarship Records

Document application, recruitment, selection, processing and awarding of private and public scholarships to individual students based upon a predetermined selection criteria.

- Selection criteria

- Application
- Disbursement documentation
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – maintain 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Maintain 3 years after award disbursed for individual awarded scholarships; award selection criteria, application forms and working files, until superseded, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Administering Units and

Student Financial Aid and Scholarships

III-06-02. Federal Student Aid Program Records

Records documenting the university's eligibility to receive FSA funds.

- Application submitted for FSA program funds and supporting documentation as required by the Department of Education, program participation agreement, approval letter, and Eligibility and Certification Approval Report (ECAR)
- Application portion of the FISAP
- Accrediting and licensing agency reviews, approvals, and reports
- State agency reports
- Audit and program review reports
- Self-evaluation reports
- "other records, as specified in regulation, that pertain to factors of financial responsibility and standards of administrative capability."

Office of Record

Finance and Administration: Business Affairs Office for Perkins/National Direct Student Loan (NDSL)

Student Services and Enrollment Management: Student Financial Aid and Scholarship for all others.

III-06-03. Federal Student Aid Fiscal Records

Document FSA program transactions.

- Bank statements for all accounts containing FSA funds
- Records of student accounts, including each student's institutional charges, cash payments
- FSA payments, cash disbursements, refunds, returns, and overpayments required for each enrollment period
- General ledger (control accounts) and related subsidiary ledgers that identify each FSA program transaction (FSA transactions must be separate from school's other financial transactions)
- Federal Work-Study payroll records
- FISOP portion of the FISAP

Fiscal Operations Report (FISAP) and supporting records—3 years from the end of the award year in which the report was submitted

Perkins repayment records*—Until the loan is satisfied, or the documents are no longer needed to enforce the obligation

Perkins original promissory notes—3 years from the date the loan is assigned to ED, canceled, or repaid

Office of Record

Finance and Administration: Business Affairs

III-06-04. Federal Student Aid Recipients Records

Records document FSA recipients, include but are not limited to—

- The Student Aid Report (SAR) or Institutional Student Information Record (ISIR) used to determine a student's eligibility for FSA program funds,
- Application data submitted to the Department, lender, or guaranty agency by the school on behalf of the student or parent,
- Documentation of each student's or parent borrower's eligibility for FSA program funds (e.g., records that demonstrate that the student has a high school diploma, GED, or the ability to benefit),
- Documentation relating to each student's or parent borrower's receipt of FSA program funds, including but not limited to:
 - The amount of the grant, loan, or FWS award; its payment period; its loan period, if appropriate; and the calculations used to determine the amount of grant, loan, or FWS award;
 - The date and amount of each disbursement of grant or loan funds, and the date and amount of each payment of FWS wages;
 - The amount, date, and basis of the school's calculation of any refunds/returns or overpayments due to or on behalf of the student; and
 - The payment of any refund/return or overpayment to the FSA program fund, a lender, or the Department, as appropriate.
- Documentation of and information collected at any initial or exit loan counseling required by applicable program regulations,
- Reports and forms used by the school in its participation in an FSA program, and any records needed to verify data that appear in those reports and forms,
- Documentation supporting the school's calculation of its completion or graduation rates, and transfer-out rates

Office of Record

Student Financial Aid and Scholarships

Retention and Disposition Instructions

Maintain 3 years from the end of the award year in which the student last attended for records related to borrower's eligibility and participation; reports or forms—3 years from the end of the award year in which the report was submitted including original repayment schedule, though manner of retention remains same as promissory note; all other records 3 years from the end of the award year for which the aid was awarded then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁴⁴

III-07. Intercollegiate athletics

Document the recruitment process for prospective student-athletes.

III-07-01. Recruitment Records

Document the recruitment process for prospective student-athletes.

- Questionnaires
- Transcripts
- Letters of intent
- Copies of admissions materials
- Performance reports
- Telephone and conversation notes
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain 10 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Intercollegiate Athletics

III-07-02. Student-Athletes Files

Document individual student-athletes who have competed for the institution. Does not include recruitment material except for the signed letter of intent.

May include but not be limited to signed letter of intent; admissions verification reports, academic transcripts and major information, and financial aid information; performance reports, media articles; photographs; release of information forms; personal data questionnaires; records of awards; students' requests for release from athletic programs; disciplinary memoranda; and related substantive documentation and correspondence.

Retention and Disposition Instructions

Maintain 5 years after separation from the institution for student records containing confidential information, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Permanent for all other records. Transfer the permanent records to the University Archives after 10 years.

Office of Record

Intercollegiate Athletics

III-07-03. Student-Athletes Academic Files

Document academic advising and progress while students are involved in athletic programs at the University. Include but not limited to transcripts; grade reports; petitions; academic evaluations; advanced standing reports; advisors' report sheets showing progress towards academic degree; program planning sheets; NCAA Progress Reports; and related correspondence.

Retention and Disposition Instructions

Maintain 10 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Intercollegiate Athletics

III-07-04. Student-Athletes Medical Records

III-07-05. Eligibility Reporting Records

Document verification by intercollegiate athletics of student-athletes' academic progress to the NCAA.

Retention and Disposition Instructions

Maintain 10 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Intercollegiate Athletics

III-07-06. Game Arrangement and Scheduling Records

Document game, including practice, arrangements and schedules. Include but not limited to: team practice schedules; copies of game contracts itineraries; notes; and related substantive documentation and correspondence.

Retention and Disposition Instructions

Maintain 10 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Intercollegiate Athletics

III-07-07. Practice and Competition Records

Document practice time for athletic teams, individual games and competitions and is used to comply with NCAA reporting requirements for both revenue and non-revenue producing sports. Include but not limited to team rosters indicating time spent in practices; meetings; training and conditioning; and competition sport name; opponent name; date; event location; final score; player names and positions; time played per athlete; and the signature of the head coach or athletic director; or other information required by NCAA reporting, including NCAA Countable Athletically Related Activities (CARA)

Retention and Disposition Instructions

Maintain 10 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Intercollegiate Athletics

III-07-08. Game Officials' Evaluation Forms

Document head coach's evaluation of judging officials' performance at individual sporting events.

Retention and Disposition Instructions

Maintain 10 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Intercollegiate Athletics

III-07-09. Game Statistics

Document practice, play, and attendance figures and related narratives or summaries by game and season for each sport.

Retention and Disposition Instructions

Maintain 10 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Intercollegiate Athletics

III-07-10. Insurance Claims

For injury records, see Student-Athlete Medical Records. For insurance policies, see Contracting and Purchasing.

III-08. Admissions, Oregon residency

For International Student documentation, see Immigration.

III-09. Student life, general

IV. Finance, Administration and Infrastructure

IV-01. Budget

Document the university's financial planning and management.

Retention and Disposition Instructions

Final budget and supporting documents, 6 years after current year; all other material 3 years.

IV-02. Audits

IV-02-01. Audit Records

Document responses to internal, governmental, or independent management, operations, or fiscal audits.

- Final report
- Related substantive documentation and correspondence – 7 years
- Working files and logistics documentation and correspondence – maintain 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Maintain 20 years after completion of audit, unless otherwise indicated, then transfer final report of major audits to University Archives, otherwise shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Office of Internal Audit

IV-03. Treasury and investments

IV-03-01. Bonds, Capital Projects

Document the expenditure and repayment of external funds provided to the University to finance long-term investments or current expenditures.

- UO revenue bonds, state-issued bonds, SELP, or Certificates of Participation (COPs)
- Documents related to bond financed construction, renovation, and operations and use of any structure or space
- Lease agreements
- Research agreements
- Construction details including all copies of contracts, receipts for work performed, general accounting documents, and copies of cashed checks used to pay any financed or related expenses.

Retention and Disposition Instructions

Maintain 50 years after redemption, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs

IV-04. Finance and Administration: Business Affairs

IV-04-01. Routine Administrative Records of Units

Document operational records of any unit.

- Annual Unit Reports
- Agendas and minutes of routine department or unit meetings
- Unit guidelines and procedures – use section Safety and Risk Service for emergency plans and procedures
- Service Order Requests or Fulfillments
- Special Events

IV-04-02. Revenue - Accounts Receivable Records

Document billings and collections for parking citations, health center charges, library fines, and housing charges. Does not include (1) tuition charges; (2) cash transactions.

- Invoices
- Journal vouchers
- Receipts
- Returned checks

Retention and Disposition Instructions

Maintain 6 years after collected or deemed uncollectable, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any creating unit

IV-04-03. Revenue - Tuition Remission

Document billings and collections for tuition

IV-04-04. Revenue - Collection Records

Document the University's efforts to collect unpaid accounts. Include but not limited to: collection letters; notices; bankruptcy records.

Retention and Disposition Instructions

Maintain 3 years after account is paid in full or written off, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs

IV-04-05. Revenue - Accounts Receivable Write-off Records

Document the reduction or cancellation of uncollected accounts receivable. Include but not limited to: accounts receivable invoices; write-off worksheets; due diligence documents; transcript hold; tax write-off.

Retention and Disposition Instructions

Maintain as long as transcript hold is maintained, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs

IV-04-06. Revenue - Revolving Charge Agreements Records

Document a student's agreement with terms and conditions of the billing account including interest rate, billing fee, and payment terms, and agreement forms signed by each student.

Retention and Disposition Instructions

Maintain 3 years after last enrollment and account paid in full, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs

IV-04-07. Revenue - Refund Records

Document requests for and disbursements of refunds for overpayment of education related expenses to students. For refunds related to other activities, see AP – Refund Disbursement Request Records series.

May include but not limited to: tuition; fees; loans; change-of-residence; canceled courses; miscellaneous charge reversals.

Retention and Disposition Instructions

Maintain 6 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs

IV-04-08. Revenue - Accounts Aging Records

Document a cumulative listing of all receivables.

Retention and Disposition Instructions

Maintain 10 years for year-end listing, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs

IV-04-09. Revenue – Cash Handling

IV-04-10. Expenditures – Accounts Payable

IV-04-11. Expenditures - Expense Records

Document expenditures and purchases. Serve as supporting material for accounts payable and tax reporting activities. Includes travel expenses and moving expenses. For Credit and Procurement Card applications, see [Purchasing and Contracting section](#).

- Account statements
- Balance sheets
- Bills
- Canceled/redeemed checks
- Contract release orders
- Credit card sales slips
- Invoices
- Journal voucher/entry forms
- Justifications of purchases
- Payment authorizations
- Petty-cash slips for small cash payments
- Phone bills
- Price quotes
- Procurement card (p-card) statements
- Purchase orders
- Registration fees receipts
- Reports of receipt of goods or services
- Requisitions
- Travel advance requests

Retention and Disposition Instructions

Maintain 6 years after end of fiscal year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁴⁵

Office of Record

Any unit incurring the expense

Finance and Administration: Business Affairs: Accounts Payable for Travel Advance Form

IV-04-12. Revenue - Refund Disbursements Records

Document requests for and disbursements of refunds for overpayment for parking violation fines, event tickets, and library fines. For refunds of overpayment of education related expenses, see AP – Refund Records.

Retention and Disposition Instructions

Maintain 6 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs Office: Accounts Receivable

IV-04-13. University Budget

IV-04-14. Annual Financial Statements

Document mandatory federal reporting, include attached disclosures or exhibits.⁴⁶

Retention and Disposition Instructions

Maintain 6 years after fiscal year or close of audit, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs Office

IV-04-15. Tax Records

Document the collection, distribution, deposit, and transmittal of federal and state income taxes and social security tax. For payroll taxes, see Payroll.

- Federal Miscellaneous Income Statement (1099)
- Request for Taxpayer Identification Number and Certificate (W-9)
- Tax Deposit Coupon (8109)
- Students Accounts Receivable: Request for Student(s) or Borrower(s) Social Security Number and Certificate (W-9S)
- Related federal and state tax forms and supporting material

Retention and Disposition Instructions

Maintain 6 years after close of fiscal year or resolution of audit, whichever occurs first, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Business Affairs: Accounts Payable

Finance and Administration: Campus Planning and Facilities Management for County Property Tax Records and 990T Federal Income Tax Form

Retention and Disposition Instructions

Maintain 6 years after close of fiscal year or resolution of audit, whichever occurs first, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

IV-05. Public Safety and Risk Services

For Insurance Policy Records, see Purchasing and Contracting.

IV-05-01. Law Enforcement Records

See the UOPD Schedule.

IV-05-02. Emergency Response Plans and Procedures

Document university plans and procedures for operations during and following emergency or disaster.

- Plans
- Meeting minutes
- Testing and implementation documentation

Retention and Disposition Instructions

Maintain 2 years after superseded or business use ceases, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Risk and Safety Services

IV-05-03. Security Records

Document reporting of suspicious and criminal activities at the institution. Material used to prepare the Annual Clery Security Report.⁴⁷

- Campus crime statistics for the past three years
- Campus security guidelines
- Incident reports containing names, dates, case numbers, dollar values, locations, descriptions of incident, and personnel taking report
- Documentation created when reports of suspicious behavior are made
- Warnings records
- Copies of reports filed by UOPD or other law enforcement agencies
- Crime statistics and other supporting documents⁴⁸ - 3 years
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain 7 years after current academic year for records that involve students, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

UOPD for Annual Clery Report and supporting documentation; any unit for incident reports.⁴⁹

IV-05-04. Identity Theft Prevention

Document breaches of security reporting.

- Investigation files
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – maintain 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Retention and Disposition Instructions

Maintain 5 years, unless otherwise indicated.⁵⁰

Office of Record

Any

IV-05-05. Risk Management - Waivers of Liability Records

Document the process of informing prospective participants of potential risks involved with an activity and securing of agreement from any individual to hold harmless the university.

- Signed Waiver of Liability Forms
- Signed Conditions of Volunteer Service Forms
- Signed International Travel Waivers

Retention and Disposition Instructions

Maintain 6 years after the end of the event or activity for which the waiver was signed, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any administering unit

IV-05-06. Risk Management - Claims Records

Document a loss to university property; or breach of a legal duty (tort claims); or loss to a university, motor pool, state, rental, or third-party vehicle. Does not include student-athlete injuries, or workplace or occupational injuries. See also [Intercollegiate Athletics](#) and Occupational Health.

- Accident, injury, and incident reports
- Damage or loss of university property reports
- Claims
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence - 1 years after current fiscal year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records

Retention and Disposition Instructions

Maintain 10 years after disposition of claim; 6 years after current year for incidents that do not result in a claim, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Office of General Counsel for major claims

Finance and Administration: Safety and Risk Services for minor claims

IV-05-07. Risk Management - Drug Free Schools and Communities Report Records

Document compliance with federal reporting requirements.

Retention and Disposition Instructions

Maintain 3 years after the year in which report is published, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁵¹

Office of Record

Office of the Dean of Students

IV-05-08. Risk Management - Request to Serve Alcohol

IV-05-09. Risk Management - Youth Program Records

Document training, hiring, and volunteer information required for compliance with mandatory reporting requirements.

Retention and Disposition Instructions

TBD

Office of Record

Finance and Administration: Safety and Risk Services⁵²

IV-05-10. Safety Program Records

Document establishment and administration of a safety committee to promote a safe work environment for its employees.⁵³

- Inspection reports and workplace safety committee minutes, agendas, reports, evaluations, and recommendations - 10 years
- Safety plans and procedures - 5 years after superseded
- Related substantive documentation and correspondence - 5 years after current fiscal year
- Working files and logistics documentation and correspondence - 1 years after current fiscal year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records

Retention and Disposition Instructions

Maintain for time indicated, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁵⁴

Office of Record

Finance and Administration: Safety and Risk Services

IV-05-11. Fire Code Official's Records

Records required by Sections 104.6.1 through 104.6.4 of the Oregon fire code.

Retention and Disposition Instructions

Maintain 5 years or for as long as the structure or activity to which such records relate remains in existence, unless otherwise provided by other regulations in accordance with Oregon Revised Statute 192, Public and Private Records; Public Reports and Meetings.⁵⁵

Office of Record

Finance and Administration: Safety and Risk Services

IV-05-12. Employee Toxic and Hazardous Substances Training Records

Document mandatory Occupational Safety and Health Administration training.

- Enrollment and attendance records
- Grade reports
- Certifications of completion
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence - 1 years after current fiscal year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records

Retention and Disposition Instructions

Maintain 1 year beyond the last date of employment of that employee, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁵⁶

Office of Record

Finance and Administration: Risk and Safety Services

IV-05-13. Occupational Injury and Illness Records

Documents occupational injuries and illnesses which occur in the workplace and provides information required by the Oregon Occupational Safety and Health Administration (OR-OSHA), Log of Work-Related Injuries and Illnesses (OSHA 300 Log)

Retention and Disposition Instructions

Maintain 5 years following the calendar year the log(s) cover(s), then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁵⁷

Office of Record

Safety and Risk Services

IV-05-14. Hazard Exposure Records

Document an employee's exposure to hazards such as chemicals, toxic substances, blood-borne pathogens, biological agents, bacteria, virus, fungus, radiation, noise, dust, heat, cold, vibration, repetitive motion, or other dangerous work related conditions. These records are not personnel records and should be maintained separately.

Retention and Disposition Instructions

Maintain noise exposure measurement records: 2 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁵⁸

Maintain audiometric test records: until employee separation, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁵⁹

Maintain all other hazard exposure records: 30 years after employee separation, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁶⁰

Lead exposure: monitoring records for at least 40 years or for the duration of employment plus 20 years, whichever is longer.⁶¹

Asbestos: The employer must keep an accurate record of all exposure measurements taken to monitor employee exposure to asbestos. This record must be kept for 30 years.⁶²

IV-05-15. Hazardous Substance Employer Survey Records

Document the locations, quantities, and individuals responsible for specific hazardous chemicals housed by the university; may include hazardous chemical compositions, lot numbers, and emergency disposition instructions.

Retention and Disposition Instructions

Maintain 1 year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁶³

Office of Record

Finance and Administration: Risk and Safety Services

IV-05-16. Master Material Safety Data Records

Document all hazardous chemicals currently used and held by the university.

- Hazardous materials safety sheets
- Safety instructions
- Emergency instructions
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain until superseded or chemical no longer in use, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁶⁴

Office of Record

Finance and Administration: Risk and Safety Services

IV-05-17. Pesticide Application Records

Document the application of pesticides to university buildings or grounds as required by the Oregon Department of Agriculture (ODA).

- Pesticide applicator license information
- Lists of pesticides used
- Amount of pesticides used
- Dates of application
- Applicator notes
- Work orders

Retention and Disposition Instructions

Maintain 2 years after report submitted to ODA, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Finance and Administration: Risk and Safety Services

IV-05-18. Asbestos Management Records

Document surveys and plans to correct asbestos material hazards.

- Surveys
- Monitoring tests and reports
- Data forms
- Building plans
- Correction checklists
- Removal job records
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain 30 years after separation for records documenting persons contacting or removing asbestos; 40 years for all other records, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Record Copy

Safety and Risk Services: Environmental Health and Safety

IV-05-19. Hazardous Material Shipping Records

Document hazardous waste transport.

- Hazardous waste shipping - 3 years after the material is accepted by initial carrier
- All other hazardous materials - 2 years after the material is accepted by the initial carrier⁶⁵

Retention and Disposition Instructions

Maintain for time indicated, and then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Record Copy

Safety and Risk Services: Environmental Health and Safety

IV-05-20. Safety Compliance and Inspection Records

Document compliance with state and local safety regulations which is usually determined as a result of a complaint or through periodic safety inspections by OR-OSHA, State Fire Marshal, and other state or local agency inspectors. See also 4-05-1.Fire Code Official's Records

- Inspection reports on buildings (including inspections of fire alarm and security systems, elevators, and boilers)
- Complaints
- Citations
- Notices of penalties
- Correction orders
- Follow-up actions
- Extension notices
- Variance records
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain 10 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

IV-06. Information technology

For help desk documents, use Service Orders in Business Affairs.

IV-06-01. Network, Computer, and Server Security

Document the administration of the security and monitoring of the organization's network, servers, and computers.⁶⁶ Server security audit logs; summary master copy of all raw data pertaining to server logs at the conclusion of each month.

Some data related to student records have a different retention period, see section [III-05-01. Student Records](#)

Retention and Disposition Instructions

1 year, then cycle tapes by overwriting the oldest data on "Month 13 tape" with the most recent data, or as per other documented procedures.⁶⁷

Office of Record

Any creating office

IV-06-02. System Development

Document projects to acquire, design or upgrade software or hardware from vendor, or develop software in-house.

- Project plans and other planning documents
- Copies of procurement documents kept for reference during the project and contract management records
- Change control records
- Deliverables as specified by project, especially data dictionaries
- Closeout records
- Related substantive documentation and correspondence, especially with vendor

Retention and Disposition Instructions

Maintain 6 years after system is retired, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁶⁸

IV-07. Property, facilities and planning; sustainability

IV-07-01. Equipment Loans

Document checkout and return of audiovisual and other equipment to students, staff and faculty for use in the conduct of University-related activities.

Retention and Disposition Instructions

6 months after return of equipment, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any office making the loan

IV-07-02. Property Leases

IV-07-03. Construction Projects

IV-08. Parking and vehicles

IV-09. Purchasing and contracting

See Finance and Administration: Business Affairs for records related to expenses, such as credit or procurement card ("p-card") statements. For p-card or other credit card applications, use this section.

IV-09-01. Contracts and Agreements Records

Document competitive bidding process, negotiation, execution, completion, and termination of legal agreements between the University and other parties. Does not include property records or Collective Bargaining Agreement Records.

- Requests for Information (RFIs)
- Requests for Proposal (RFPs)
- The official contract
- Lease, or agreement, amendments
- Exhibits
- Addenda
- Legal records
- Contract review records
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain contracts or agreements documenting building construction, alterations, or repair: 10 years after substantial completion, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁶⁹

Maintain all other contracts and agreements: 6 years after expiration, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Maintain successful bids 6 years after bid awarded or canceled, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Maintain unsuccessful bids 3 years after bid awarded, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Purchasing and Contracting Services and Delegated Authorities

Finance and Administration: Campus Planning and Facilities Management for construction related material

IV-09-02. Credit/Purchasing Card (P-Card) Applications and Agreements

Document administration of credit cards, p-cards, and corporate travel or entertainment cards issued to institutional staff and units. For bills, see Expenses in section 4.

Retention and Disposition Instructions

Maintain 6 years after card expiration for applications, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Record Copy

Any unit

IV-09-03. Insurance Policy Records

Document insurance policies written to cover all state property, automobiles, liability, and special events.

- Copies of insurance policies, riders, and endorsements
- Records of payment
- Related substantive documentation and correspondence

Retention and Disposition Instructions

Maintain 10 years after policy expiration for liability, motor vehicle, special event and employee group insurance policies, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Maintain 5 years after policy expiration for state motor vehicle insurance, non-employee medical, and bonds policies, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Maintain 2 years after policy expiration for fire, theft, or extended coverage policies, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Maintain 1 year after final claim payment for any policy with an outstanding claim against it when the Retention period expires, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Intercollegiate Athletics for NCAA Catastrophic Injury Insurance Program
Student Services and Enrollment Management: University Health Center for students
Finance and Administration: Human Resources for employee insurance policies
Finance and Administration: Safety and Risk Services: Risk Management for all others

IV-10. Public records and retention

IV-10-01. Public Records Requests and Responses

Document public requests for information.

- Correspondence inquiries from the public received by the university
- Written and dated responses issued by the university
- Notes and memoranda made in drafting responses to these inquiries

Retention and Disposition Instructions

Maintain 5 years after the close of the request, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁷⁰

Office of Record

Public Records Office

IV-10-02. Records Management Files

IV-11. Fundraising

IV-11-01. Endowments, Trust, Gifts Records

Document bequests by wills, endowment and trust gifts.

Retention and Disposition Instructions

Maintain for life of the Endowment or 10 years, whichever is the longer⁷¹

Office of Record

Any

V. Human Resources

V-01. Affirmative Action and Equal Opportunity

V-01-01. Affirmative Action and Equal Opportunity Records

Document Affirmative Action Plan and other required reporting. Includes [applicant flow and related summary data](#)

Retention and Disposition Instructions

Maintain 6 years after current year, and then transfer to University Archives

Office of Record

AAEO

V-01-02. Investigations Records

Document intake and investigation of AAEO complaints.

- Final version of the report
- Students complaints and grievances documents
- Employee complaints and grievances documents
- AAEO-Issue Intake Forms
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – shred paper and/or overwrite data or physically destroy storage media holding electronic records immediately after transcribing information.

Retention and Disposition Instructions

Maintain 6 years after employee separation or expiration date or 7 years after student graduation unless otherwise indicated, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

AAEO⁷²

V-01-03. Alternate Resolution Records

Document resolution of AAEO complaints.

- AAEO-Issue intake form
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence – shred paper and/or overwrite data or physically destroy storage media holding electronic records immediately after transcribing information.

Retention and Disposition Instructions

Maintain 6 years after employee separation or expiration date or 7 years after student graduation, unless otherwise then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record:

AAEO⁷³

V-01-04. Americans with Disabilities Act (ACA) Accommodation Files

Retention and Disposition Instructions

Maintain 3 years after employee separation or expiration date or 7 years after student graduation, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Verify no ADA-related formal discrimination complaints prior to disposal.

V-02. Benefits

V-02-01. Benefits Program

Documents employee participation in employer-offered benefits programs.⁷⁴ For related contracts and agreements, see Contracts.

- Enrollment in life insurance, medical and prescription drug plans
- Changes to election in benefits
- Enrollment or refusal of coverage under the consolidated omnibus budget reconciliation act (COBRA)
- Related substantive documentation and correspondence
- Working files and logistics documentation and correspondence - 1 years after current academic year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records

Retention and Disposition Instructions

Maintain 6 years after discontinuation or change of benefits, unless otherwise indicated, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁷⁵

Office of Record

Finance and Administration: Human Resources

V-02-02. Retirement Plan Records

Document retirement plan election and beneficiary information, enrollment and change forms, and related authorizations. These records are described in and subject to Oregon Public Universities Retirement Plans (OPURP) Records Retention Agreement.⁷⁶

Retention and Disposition Instructions

V-03. Compensation and payroll

Document compensation and payroll. For Employment Eligibility Verification Forms (I-9) see V-10.
Employee Records

V-03-01. Payroll Authorizations

- Direct Deposit Forms
- Deduction Authorizations
- Pay Authorization Records

Retention and Disposition Instructions

Maintain 6 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁷⁷

Office of Record

Finance and Administration: Business Affairs: Payroll

V-03-02. Wage Computations

- Time Cards, Timesheets
- Wage Rate Tables
- Work and Time Schedules
- Records of Additions to or Deductions from Wages
- Garnishments (6 Year Statute Of Limitations)

Retention and Disposition Instructions

Maintain 6 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁷⁸

Office of Record

Any hiring unit for Timesheets and Deduction Authorizations

Finance and Administration: Business Affairs: Payroll for all others

V-03-03. Pay Records

- Payroll Request Forms
- Manual Check Requests
- Advances
- Payroll Accounting Adjustment Forms
- Paycheck Delivery Records
- Payroll Check Register

Retention and Disposition Instructions

Maintain 6 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁷⁹

V-03-04. Payroll Tax

- Employers Quarterly Federal Tax Return (941, 941E)
- Annual Withholding Tax Return for U.S. Source Income of Foreign Persons (1042)
- Foreign Person(s) U.S. Source Income Subject to Withholding (1042S)
- Wage And Tax Statements (W-2)
- Related federal and state tax forms
- Employee's Withholding Allowance Certificate (W-4)
- Form OQ, Oregon Quarterly Tax Report
- Federal Insurance Contributions Act (FICA)
- Annual Withholding Tax Return for U.S. Source Income of Foreign Persons (1042) Foreign Person(s) U.S.
- Related federal and state tax forms and supporting material

Office of Record

Finance and Administration: Business Affairs Office - Payroll

Retention and Disposition Instructions

6 years after the date the tax becomes due or is paid, whichever is later, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁸⁰

Office of Record

Finance and Administration: Business Affairs: Payroll

V-03-05. Payroll Register and Reports

Retention and Disposition Instructions

26 CFR 31.6001-1

Office of Record

Finance and Administration: Business Affairs: Payroll

V-03-06. Payroll, International Employees

V-04. Workplace

V-05. Professional development and training

For training of employees who provide health services, see 3-04 Student health services. For training of employees who work with hazardous substances, see 4.05 Public safety and risk services.

V-05-01. Training Materials

Instructors material. See also [Risk and Safety](#) and Student Health Services for Vaccines/Immunization Provider Training.

- Registration/attendance information
- Instructor(s) presentation materials
- Session evaluations

Retention and Disposition Instructions

Maintain 3 years after current year, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

V-06. Performance Management

V-07. Recruitment and selection

See 5-10 Employee Records.

V-08. Separation

See 5-10 Employee Records.

V-09. Time-off and leave

V-09-01. Family Medical Leave Case Files

Documents relating to medical certifications, recertifications, or medical histories of employees or employees' family members created for purposes of the FMLA must be maintained as confidential medical records in separate files/records from the usual personnel files. Excludes information about diagnoses.

- Basic payroll and identifying employee data

- Dates FMLA leave is taken by FMLA-eligible employees (leave must be designated in records as FMLA leave) including the hours of the leave, if FMLA leave is taken in increments of less than one full day
- Copies of employee notices of leave provided to the employer under the FMLA, if in writing, and copies of all eligibility notices given to employees as required under the FMLA (copies may be maintained in employee personnel files)
- Any documents (including written and electronic records) describing employee benefits or employer policies and practices regarding the taking of paid and unpaid leave
- Premium payments of employee benefits
- Records of any dispute between the employer and an eligible employee regarding designation of leave as FMLA leave, including any written statement from the employer or employee of the reasons for designation and for the disagreement

Retention and Disposition Instructions

3 years after file closed, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁸¹

Office of Record

Finance and Administration: Human Resources

V-10. Employee Records

V-10-01. Search and Selection Records

Document the hiring process.

Retention and Disposition Instructions

Maintain 3 years after close of search, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record: Finance and Administration: Human Resources and hiring units

V-10-02. Employment Eligibility Verifications

Document establishment of the identity and verification of individual's employment eligibility; I-9 form.

Retention and Disposition Instructions

3 years after date of hire or 1 year after separation, whichever is longer, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Record Copy

Finance and Administration: Human Resources for staff

Finance and Administration: Finance and Administration: Business Affairs: Payroll for students

V-10-03. Immigration Records, Employees and Courtesy Appointments

Document mandatory immigration reporting for employees and courtesy appointments.⁸²

- H1-B Visa, Labor Condition Applications, supporting material and correspondence – 1 year from the latter of: date any H-1B employed under the LCA; or date LCA expires or is withdrawn
- Labor certifications – 5 years from date of filing
- J-1 Visa – maintain 3 years from completion of visitor's program
- Copies of related payroll records – 3 years

Retention and Disposition Instructions

Maintain for time indicated, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Responsible Office

Finance and Administration: Human Resources

V-10-04. Employment Records

Document the lifecycle of an individual's employment by the University of Oregon as Faculty or Officer of Administration from selection, to promotion, classification, compensation, performance, discipline, training, and separation (layoff/termination/resignation).⁸³

Retention and Disposition Instructions

Maintain 10 years after separation, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Academic Affairs: Dean or Director's Office

Academic Affairs: Office of the Provost

Finance and Administration: Human Resources

V-10-05. Employment Records, Classified Employees

Document the lifecycle of an individual's employment by the University of Oregon under a Collective Bargaining Agreement from selection, recruitment, to promotion, classification, compensation, performance, discipline, training, and separation (layoff/termination/resignation).

Retention and Disposition Instructions

Maintain 50 years after separation, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁸⁴

- Employment application - first UO job
- Employment application - current job
- Personnel Information Form & Payroll Request form(s)
- Performance appraisals
- Summary of training completed
- Letters of commendation/recommendation
- Notices of disciplinary action
- Notices of layoff
- Documentation of resignation
- Personnel Records Disclosure Form

Office of Record

Finance and Administration: Human Resources

V-10-06. Employment Records, Students

Retention and Disposition Instructions

Maintain 3 years after separation

Office of Record

Academic Affairs: Graduate School

Any hiring unit

V-10-07. Bargaining Unit Records

Document negotiations and contractual agreements between the institution and the bargaining unit.

Retention and Disposition Instructions

Maintain contracts in perpetuity.

Office of Record

Finance and Administration: Human Resources

V-10-08. Fitness for Duty Testing Records

Results of physical, functional, drug, alcohol or other tests carried out to determine fitness for duty – unless medical information then this should really be part of any individual's Employment Records.

Retention and Disposition Instructions

Maintain for 3 years after separation, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.

Office of Record

Any

V-11. Human resources, other

V-11-01. Conflicts of Interest Disclosure Records

Document conflicts of interest reporting by employees to the University. See also [Investigator Financial Conflict of Interest Disclosure Records](#).

- Disclosure statements
- Requests for approval of activities
- Supervisor's approval/disapprovals
- Supporting documents and related correspondence

Retention and Disposition Instructions

3 years, then shred paper and/or overwrite data or physically destroy storage media holding electronic records.⁸⁵

Office of Record

Office of General Counsel; Dean and Vice Presidents

V-11-02. Grievance Records

<https://policies.uoregon.edu/grievance-procedures>

Authorities

- ¹ Oregon, 2017 ORS 192.001 *Policy concerning public records* <https://www.oregonlaws.org/ors/192.001> (last visited Apr. 2, 2018).
- ² In accordance with ORS Chapter 352.
- ³ UO Policy I.01.01 Retention and Delegation of Authority Section 4.4, <https://policies.uoregon.edu/vol-1-governance/ch-1-governance-board-affairs/retention-and-delegation-authority> (last visited Apr. 2, 2018).
- ⁴ UO Policy I.01.01 Retention and Delegation of Authority Section 3.4. (last visited Apr. 2, 2018).
- ⁵ Secretary of State Records Retention Schedule
- ⁶ The Northwest Commission on Colleges and Universities Accreditation Standard 2.A.4 – 2.A.8, <http://nwccu.org/accreditation/standards-policies/standards/>; Society of American Archivists (SAA), *Guidelines for College and University Archives*, <https://www2.archivists.org/node/14807>
- ⁷ Documents as listed on <https://registrar.uoregon.edu/faculty-staff/curriculum-reports>
- ⁸ **UO – curriculum committee, courses changes**
- ⁹ NWCCU 2.C.8; 10 years aligns with full accreditation cycle.
- ¹⁰ See AACRAO's *Retention of Records* op. cit.
- ¹¹ See AACRAO's *Retention of Records* op. cit.
- ¹² Departments, schools and colleges publish their own handbooks, see, for example, handbooks by Education and Music: https://education.uoregon.edu/sites/default/files/fhs_2019_cohort_student_handbook.pdf; <http://pages.uoregon.edu/music/handbook.pdf>; Law School publishes its own catalog and class schedules <https://law.uoregon.edu/course-catalog>
- ¹³ <https://registrar.uoregon.edu/faculty-staff/academic-scheduling>
- ¹⁴ Best practices: see University of Washington, <https://finance.uw.edu/recmgmt/gs/student>; and Emory University: <http://records.emory.edu/retention-schedules/entries/a-c/course.html>
- ¹⁵ NWCCU 4.A.3.
- ¹⁶ University of Oregon Registrar's website notes that there are different users of course evaluation information, from Department Chairs to students themselves <https://registrar.uoregon.edu/course-evaluations>
- ¹⁷ See AACRAO's *Retention of Records* op. cit.
- ¹⁸ See AACRAO's *Retention of Records* op. cit.
- ¹⁹ See AACRAO's *Retention of Records* op. cit.
- ²⁰ See AACRAO's *Retention of Records* op. cit.
- ²¹ See accrediting organization guidelines. University of Oregon is accredited by organizations listed here <https://accreditation.uoregon.edu/>; Society of American Archivists, op. cit.
- ²² OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards; Post Federal Award Requirements Final Rule – 2 CFR 1 § 200.34-200.35; Department of Health and Human Services Grants Policy Statement.
- ²³ The grant program offered by the Center for the Study of Women is an example of institutionally funded research; see <http://csws.uoregon.edu/funding/research-grants/>; the Office of Vice President for Research and Innovation lists internal funding opportunities: <http://rds.uoregon.edu/content/internal-funding-opportunities>
- ²⁴ “In the same detail as described” in § 46.103(b)(3)
- ²⁵ “In the same detail as described” in § 46.103(b)(4) and § 46.103(b)(5)
- ²⁶ As required by § 46.116(b)(5)
- ²⁷ Protection of Human Subjects Regulations (Common Rule), 45 C.F.R. §§ 46.101-46.124, [hhs.gov/ohrp/regulations-and-policy/regulations/45-cfr-46/index.html](https://www.hhs.gov/ohrp/regulations-and-policy/regulations/45-cfr-46/index.html); National Science Foundation 45 C.F.R. § 690: Federal Policy for the Protection of Human Subjects, especially § 690.115
- ²⁸ 9 CFR AWR Section 2.35. Public Health Service Policy on Humane Care and Use of Laboratory Animals, 2015. Additional requirements identified in USDA Animal Care, Animal Welfare Act and Animal Welfare Regulations, 2017; United States Department of Health and Human Services Animal Welfare Act As Amended 7 USC, 2131-2156; Research Facilities Recordkeeping Requirements 9 C.F.R. §§ 1-4; United States Department of Agriculture Animal Care, Animal Welfare Act and Animal Welfare Regulations, 2017
- ²⁹ 21 C.F.R. § 54.6
- ³⁰ False Claims Act, 31 U.S.C. §§ 3729-3733, <https://www.gpo.gov/fdsys/pkg/USCODE-2011-title31/pdf/USCODE-2011-title31-subtitleIII-chap37-subchapIII-sec3729.pdf>; Byrd Amendment 31 U.S.C. § 1352, <https://www.gpo.gov/fdsys/pkg/USCODE-2010-title31/html/USCODE-2010-title31-subtitleIII-chap13-subchapIII-sec1352.htm>; 32 C.F.R. § 28; 34 C.F.R. § 82.100; Clinical Trials Financial Disclosures by Investigator, 21 C.F.R. § 54; UO Policy II.06.01: Research: Financial Conflict of Interest in, accessdata.fda.gov/scripts/cdrh/cfdocs/cfcr/CFRSearch.cfm?fr=54.6, (sites visited Apr. 5, 2018); https://grants.nih.gov/grants/policy/coi/nih_review.htm.

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- ³¹ Public Health Service Policies on Research Misconduct, 42 C.F.R. § 93.208 § 93.305 § 93.317; 70 Fed. Reg. 28,370; National Science Foundation Research Misconduct §§ 689.1 - 689.10; UO Policy II.06.02: Allegations of Research Misconduct. Note: "Investigative and adjudicative research misconduct records maintained by the agency are exempt from public disclosure under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a) to the extent permitted by law and regulation" as described in § 689.3; records must be made available to agency in case of an investigation, § 689.6. https://www.nsf.gov/oig/_pdf/cfr/45-CFR-689.pdf
- ³² UO Policy II.06.02
- ³³ UO Policy II.08.01: Museum of Art; United Nations, *Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property* 1970, <https://unesco.org/new/en/culture/themes/illicit-trafficking-of-cultural-property/1970-convention/text-of-the-convention/>; American Alliance of Museums, *Standards Regarding Collections Stewardship*, <https://www.aam-us.org/programs/ethics-standards-and-professional-practices/collections-stewardship-standards/> (last visited Apr. 1, 2018).
- ³⁴ NWCCU 2.D.5, Standard 2.A.17
- ³⁵ UO Policy III.01.01 Student Conduct Code
- ³⁶ AACRAO's *Retention of Records* op. cit. recommend 5 years after graduation. University of Washington retains for 7 years.
- ³⁷ See the Association for Student Conduct Administration for retention guidelines, <https://www.theasca.org/files/Best%20Practices/Transcript%20Notation%20-%20Final%20Report.pdf>. University of Oregon, UO Policy III.01.01 Student Conduct Code, <https://policies.uoregon.edu/vol-3-administration-student-affairs/ch-1-conduct/student-conduct-code> (last visited Apr. 1, 2018).
- ³⁸ <http://www.nwccu.org/wp-content/uploads/2017/05/Record-of-Student-Complaints-Policy.pdf>
- ³⁹ UO Policy III.02.01 Residence Hall Governance; Oregon Administrative Rule 571.022.0005-15
- ⁴⁰ Conditions of Participation for Clinics, Rehabilitation Agencies, and Public Health Agencies as Providers of Outpatient Physical Therapy and Speech-Language Pathology Services 42 CFR § 485.721 (d) Clinical records, Standards: Retention and preservation. "Clinical records are retained for at least: (1) The period determined by the respective State statute, or the statute of limitations in the State; or (2) In the absence of a State statute - (i) Five years after the date of discharge; or (ii) In the case of a minor, 3 years after the patient becomes of age under State law or 5 years after the date of discharge, whichever is longer." <https://www.law.cornell.edu/cfr/text/42/485.721> (last visited Apr. 14, 2018).
- ⁴¹ See reporting requirements for the administration of vaccines to the immunization registry created under ORS 433.094. The University expects that students will be immunized or present a waiver before being able to enroll, see <https://health.uoregon.edu/enrollment-requirements>
- ⁴² <http://nnlso.org/wp-content/uploads/2015/03/NNLSO-Record-Maintenance-and-Retention-Policy.pdf>
- ⁴³ <https://www.ice.gov/sevis/schools/reg#2141>
- ⁴⁴ 34 CFR 668.24. Additional guidelines issued by Information for Financial Aid Professionals (IFAP), US Department of Education <https://ifap.ed.gov/ifap/>
- ⁴⁵ <https://www.irs.gov/pub/irs-pdf/p4221nc.pdf>
- ⁴⁶ https://www.irs.gov/irm/part1/irm_01-034-001
- ⁴⁷ The Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act ("Clery Act"), 20 U.S.C. § 1092(f), <https://studentaid.ed.gov/sa/about/data-center/school/clery-act-reports> (last visited Apr. 18, 2018)
- ⁴⁸ <https://police.uoregon.edu/annual-report>
- ⁴⁹ <https://police.uoregon.edu/annual-report>
- ⁵⁰ Notwithstanding subsection (1) of this section, a person does not need to notify consumers of a breach of security if, after an appropriate investigation or after consultation with relevant federal, state or local law enforcement agencies, the person reasonably determines that the consumers whose personal information was subject to the breach of security are unlikely to suffer harm. The person must document the determination in writing and maintain the documentation for at least five years. <https://www.oregonlaws.org/ors/646A.604>
- ⁵¹ Drug And Alcohol Abuse Prevention C.F.R §86.103 Institutions of Higher Education, https://ecfr.gov/cgi-bin/text-idx?SID=87283082fa7cb47a470e919b846d8083&mc=true&node=se34.1.86_1103&rgn=div8
- ⁵² University of Oregon, UO Policy IV.05.06 Protection of Minors, <https://policies.uoregon.edu/vol-4-finance-administration-infrastructure/ch-5-public-safety/protection-minors> (last visited Apr. 18, 2018).
- ⁵³ ORS 654.182
- ⁵⁴ ORS Chapter 654: Occupational Safety and Health
- ⁵⁵ 2014 Oregon Fire Code § 104.6, <http://www.oregon.gov/osp/SFM/Pages/2014ORFireCode.aspx> (last visited Apr. 14, 2018).
- ⁵⁶ Occupational Safety and Health Standards Toxic and Hazardous Substances Training 1910.1001(m)(4), https://www.osha.gov/pls/oshaweb/owadisp.show_document?p_table=standards&p_id=9995; <https://www.osha.gov/Publications/OSHA3095.html>
- ⁵⁷ Oregon Occupational Safety and Health Division Department of Consumer and Business Services, *Recordkeeping Policies and Procedures Manual (300 Log)*, <http://osha.oregon.gov/OSHArules/pd/pd-249.pdf>
- ⁵⁸ 29 CFR 1910.95

⁵⁹ 29 CFR 1910.95

⁶⁰ 29 CFR 1910.1020

⁶¹ Oregon Occupational Safety and Health Division, *OAR 437. 2 General Occupational Safety And Health Rules Subdivision Z – Toxic And Hazardous Substances, Lead*, <http://osha.oregon.gov/OSHArules/div2/div2Z-1025-lead.pdf> (last visited Apr. 3, 2018). University of Oregon, Lead Exposure Protection Program Compliance, <https://safety.uoregon.edu/content/lead-exposure-protection-program> (last visited Apr. 3, 2018).

⁶² <https://www.osha.gov/Publications/osha3095.html>

⁶³ Oregon, 2017 ORS 453.317 Hazardous substance survey, <https://www.oregonlaws.org/ors/453.317> (last visited Apr. 18, 2018).

⁶⁴ <http://bit.ly/2DnG4nm>

⁶⁵ 49 CFR 172.201, <https://www.law.cornell.edu/cfr/text/49/172.201>

⁶⁶ Emory University

⁶⁷ United States National Archives, NARA Records Schedule, <https://www.archives.gov/about/records-schedule/chapter-08.html> (last visited Apr. 3, 2018).

⁶⁸ NARA Records Schedule, op cit, notes at 5 years, University of Washington 6 years, following retirement of system.

⁶⁹ As defined by ORS 12.135 (3). 41 CFR § 60-1. Obligations of Contractors and Subcontractors. Personnel or employment records of contractors must be maintained for at least two years from either the date the record was made of the date of any employment action with which the record was involved. UO Policy IV.09.02 and 580.061. Capital Construction and Contracting. Annual report from the President or designee to the Finance and Facilities Committee of the Board summarizing approved sole source procurements for the University for the prior fiscal year. The report will be made available for public inspection. <https://policies.uoregon.edu/capital-construction-and-contracting>.

⁷⁰ Per stakeholder.

⁷¹ Adopted from Oregon State University.

⁷² University of Oregon, *UO Policy V.11.02, Discrimination Complaint and Response*, <https://policies.uoregon.edu/vol-5-human-resources/ch-11-human-resources-other/discrimination-complaint-and-response> (last visited Apr. 14, 2018).

⁷³ University of Oregon, *UO Policy V.11.02, Discrimination Complaint and Response*, <https://policies.uoregon.edu/vol-5-human-resources/ch-11-human-resources-other/discrimination-complaint-and-response> (last visited Apr. 14, 2018).

⁷⁴ Emory University <http://records.emory.edu/retention-schedules/entries/a-c/benefits.html>

⁷⁵ 29 U.S.C. 1027, <https://www.gpo.gov/fdsys/granule/USCODE-2011-title29/USCODE-2011-title29-chap18-subchapl-subtitleB-part1-sec1027>

⁷⁶ The retention guidelines are available through the OPURP office; for reference, the following are the stated retention periods for records for participating universities: “75 years after separation for 403(b) Salary Reduction Agreements, and 401(a) PERS-to-ORP Transfer Request and supporting documentation; 6 years after expiration of program or contract for 403(b) Notice of Universal Eligibility and Distribution of Notice of Universal Eligibility; 3 years after employee separation or eligibility expired for 403(b) Dist/Rollover Authorizations - VALIC; Loan Approvals, DRO Qualification - Fidelity; Hardship Approvals, and Deferral Suspensions, TDI & OSGP; 5 years after employee separation or eligibility expired for 401(a) Forfeiture of Non-Vested Employer Account; 3 years after employee separation or eligibility expired for 401(a) Restoration of Non-Vested Employer Account, and Current Year Account Reversal Analysis.”

⁷⁷ “Each employer shall preserve for at least three years payroll records, collective bargaining agreements, sales and purchase records. Records on which wage computations are based should be retained for two years, i.e., time cards and piece work tickets, wage rate tables, work and time schedules, and records of additions to or deductions from wages.” United States Department of Labor, Wage and Hour Division, *Fact Sheet #21: Recordkeeping Requirements under the Fair Labor Standards Act (FLSA)*, <https://www.dol.gov/whd/regs/compliance/whdfs21.pdf> (last visited Apr. 18, 2018).

⁷⁸ *Fact Sheet #21*, Op. cit.

⁷⁹ *Fact Sheet #21*, Op. cit.

⁸⁰ “If an organization has employees, it must keep employment tax records for at least four years after the date the tax becomes due or is paid, whichever is later. United States Department of Labor, Employment Law Guide Wages and Hours Worked: Wage Garnishment, <https://webapps.dol.gov/elaws/elg/garnish.htm> (last visited Apr. 10, 2018).

⁸¹ United States Department of Labor, Wage and Hour Division, *Family and Medical Leave Act Advisor*, <https://webapps.dol.gov/elaws/whd/fmla/8b6.aspx> (last visited Apr. 2, 2018).

⁸² 20 C.F.R. § 655. Temporary Employment of Foreign Workers in the United States. Must retain H-1B records for one year beyond last date of employment. 8 C.F.R. § 274a Maintain records for all H-1B employees for one year after late date of employment in labor application; payroll records must be maintained for three years. Immigration and Nationality Act (INA) 8 U.S.C. §§ 1101-1537, 8 C.F.R. § 214, 8 C.F.R. § 274a, 20 C.F.R. § 655, 29 C.F.R. § 501, <https://uscis.gov/sites/default/files/iilink/docView/SLB/HTML/SLB/0-0-0-1/0-0-0-11261/0-0-0-17197.html>; https://ecfr.gov/cgi-bin/text-idx?SID=e303f5e4f74f0c3e984b2de002947caf&mc=true&node=pt8.1.274a&rgn=div5;ecfr.gov/cgi-bin/text-idx?c=ecfr&tpl=/ecfrbrowse/Title20/20cfr655_main_02.tpl <http://www.law.cornell.edu/cfr/text/29/501>

⁸³ Under federal regulations, institutions receiving federal funds are required to retain records concerning promotion or termination for at least two years after the date of the action (29 CFR § 1602.49, 41 CFR § 60- 1.12). State laws or institutional protocols may specify a longer period. One recommended approach is the retention of all employment records through the duration of the individual’s employment and for seven

years thereafter.” American Association of University Professors, *Good Practice in Tenure Evaluation*, <https://www.aaup.org/sites/default/files/files/Good%20Practice%20in%20Tenure%20Evaluation.pdf> (last visited Apr. 2, 2018). UO Policy 02.01.17 Post Tenure Review describes 3 year review cycle, and the addition of this material into the faculty member’s personnel file. <https://policies.uoregon.edu/policy/by/1/0201-personnel/post-tenure-review>

⁸⁴ University of Oregon, *Classified Employee Records and Data*, <https://hr.uoregon.edu/records/classified-employee-records-and-data> last visited Apr. 2, 2018).

⁸⁵ University of Oregon, *UO Policy Statement 09.00.05 Conflicts of Interest, Potential*, <https://policies.uoregon.edu/vol-2-academics-instruction-research/ch-6-research-general/research-financial-conflict-interest> (last visited Apr. 2, 2018).