

Doane University Records Retention Policy

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I. Policy

This policy sets forth the guidelines for document retention and destruction.

II. Purpose

To provide for the systematic review, retention, and destruction of documents received or created in connection with the transaction of Doane's operations. This policy covers records and documents, regardless of physical form, contains guidelines for how records can be accessed, how long certain documents should be kept, and how records should be destroyed. The policy is designed to ensure compliance with federal and state laws and regulations, to eliminate accidental destruction of records and to facilitate Doane University's operations by promoting efficiency and freeing up valuable storage space.

III. Scope

This policy applies to all departments and employees of Doane University.

IV. Terms and Definitions

1. Archives shall be defined as the Doane University Archives storage area located in the Perkins Library. Archives are responsible for collecting, preserving and making available the operational, historical and development records of Doane University.
2. Records shall be defined as all material on which information is recorded or preserved, regardless of form or characteristics, which is received, created or maintained by any agency, officer, or employee of Doane University in the transaction of its business. This definition refers to all forms of recorded information or other material bearing upon the activities and functions of Doane University, any of its officers, and employees. This definition also includes but is not limited to handwritten, typed, or printed material; publications; photographs; moving images; sound recordings; drawings; and computer or other machine readable data. Not included in the definition of records as used in this policy are: faculty research or lecture notes and library reference materials.

V. General Procedures and Guidelines

1. Follow the Records Retention Schedule below. Certain operational records not listed in the Records Retention Schedule can and should be destroyed routinely. These may include (but are not limited to) copies of requisitions, receipts, and travel expense reports; most printed material received from outside the University; and duplicates of memos and reports generated by your office.

2. From time to time, the VP of Information Technology or VP of Finance and Administration may withhold the approval for the destruction of records until satisfied that the records involved need not be retained for legal or accounting reasons, as determined by appropriate officers.
3. For record types not specifically addressed in this policy, please discuss the destruction of certain documents with your supervisor, who will seek additional guidance from the VP of Finance and Administration and/or Library Director as needed prior to destruction.

VI. University Archives

1. The University Archives, under the direction of the Library Director, is the depository for non-current institutional records having enduring and significant operational, historical or research value.
 2. The Archives also solicits and accepts donations of professional and personal papers of faculty and staff, records of student organizations, and other relevant material. The decision to select and preserve records of historical value is the responsibility of the Library Director.
 3. To retrieve something sent over to the Archives, request the file by phone or email and they will either send over a copy or the original or have you come to the archives to review the documents.
 4. Reference service provided by the Archives may include searching records to locate specific pieces of information, making copies of particular documents, or making records available for consultation in the Archives. Offices and departments which transfer records to the Archives may request the return of records to the transmitting office if and when subsequent administrative need reveals their transfer to have been premature.
 5. The University Archives are operated year round. Hours are posted in the library and on the library website. In addition, access is readily available at other time by appointment. General Rules:
 - Patrons using the collections in the archives must observe all instructions for the use of archival material.
 - Access to restricted records will be limited to authorized individuals only.
 - For the protection of its collections, the Archive reserves the right to restrict the use of materials which are not processed, materials of exceptional value, and fragile materials.
 - Patrons must honor any restrictions placed by donors of the private materials.
 - Failure to observe the rules will result in forfeiture of the privilege of using the Archives.
- External Access
 - Non-Doane University users will have the same access to materials with the exception of University records that have been closed to the public. Access to these materials may be granted with the permission of the Vice President governing those records.
 - Internal Access

- Records that are protected by law are only accessible to the originating department or by special permission of the President. These include all forms of personnel records.
- Generally, the records of the University are available to any staff member who needs access in the course of their official duties. Widely distributed documents, such as Faculty Meeting minutes are easily accessible without question. However, in the event a staff person were asking for something that did not fit his or her role in the institution, and it was a document that had confidential content, conference would be made with the originating department. The only records staff can borrow are the ones their office created. Any department may call for records they created. These records can either be duplicated for their continued use, or the original file can be temporarily borrowed or permanently de-accessioned and returned to the department. However, any department needing access to project files they did not create can only view them in person, or pay for duplication. Original files will not be lent out for use to non-originating departments. Archival materials that don't belong to a particular department cannot be borrowed. Researchers and the public can come see the items in person and make digital copies or take pictures.

VII. Confidential Retention and Destruction of Documents

1. Non-current records should be removed from your office sent to the archives for retention and managed in accordance with this policy.
2. Records that have reached the end of their use as defined in this policy shall be confidentially destroyed (either throughout the year or annually).
3. Annually, the Business Office schedules a confidential shred day in the summer where a vendor is on campus to destruct confidential records in accordance with this policy. Several reminders of the shred day are provided by email. Facilities Operations provides pick-up and delivery to the secure location where documents are kept up to the scheduled shred day.
4. All materials must be boxed up, labeled with contents, including the destruction date, sealed and inventoried prior to pick up by Facilities Operations. If applicable, put the contents into chronological order and number the boxes (1 of 3; 2 of 3; 3 of 3).
5. Prepare a Word or Google Doc, of folder titles (including beginning and ending dates) in each box. This insures that the Archives can retrieve material for you should you need it in the future and reduces the archives processing backlog.
6. Finally, put in a work order with Facilities Management to get the boxes moved to the University Archives.

VIII. Records Retention Schedule

The records retention schedule will be reviewed periodically by the VP of Finance and Administration and Library Director and the appropriate departments for updates and additions.

Record Type	Who is the official copy holder?	How long do we retain the official copy?	How long do others retain other copies?
Accounts Payable Ledgers/Backup	Financial Services	7 years	—
Accounts Receivable ledgers, supporting documentation and schedules.	Financial Services	7 years	—
Advising Files	Any Office	3 years after graduation	—
Alumni Surveys	Advancement	Permanent	Active
Applicant Files - application materials, background check/not hired	Human Resources	5 years	—
Applicant Files/application materials/background check/hired	Human Resources	7 years after termination	
Artifacts/Photos	Archives	Permanent	Active
Audit & Review Reports	Financial Services	Permanent	Until Superseded
Bank Reconciliations	Any Office	7 years	—
Bank Statements	Any Office	7 years	—
Blueprints & Floorplans	Facilities Operations	Permanent	Current
Book & Textbook Orders	Bookshop	7 years	Current
Budget Preparation	Any Department	3 years	Current
Budget Reports – Annual	Financial Services	Permanent	Current
Budget Requests	Any Office	3 years	Current
Capitalization Files (Costs, depreciation, plans, etc.)	Financial Services/Facilities Operations	Permanent	Current
Charitable Trust Tax Documents	Financial Services	Permanent	Current
Class Lists	Registrar	Until Administrative need met	Current
Clery Reports & Supporting Documentation	Public Safety Office	7 years	Current
Construction & Remodeling Documentation	Facilities Operations	Permanent	Active
Contracts	Financial Services	6 years after termination	Active
Departmental Reviews	Dean of the College	Permanent	Until Superseded
Financial Aid	Financial Aid	FSA Recipient Records - 3 years from end of award year student last attended. FSA Reports	—

Record Type	Who is the official copy holder?	How long do we retain the official copy?	How long do others retain other copies?
		such as FISAP - 3 years from the end of the award year for which information was submitted.	
Financial Statements (end of yr.)	Financial Services	1 hard copy, 1 digital copy-5 years	Current
General Ledgers	Financial Services	1 hard copy, 1 digital copy - 7 years	Current
Grade Books	Faculty	5 years	—
Grant Proposals – rejected	Director of Grants	Permanent-summary of materials, 3 years-detail	Discretion
Grants – funded, Financial Reports	Financial Services	3 years after final report	3 years after conclusion of grant
Grants – funded, Project File	Director of Grants	Permanent	Discretion
Greek System risk assessment records	Student Affairs	Permanent	Active
Insurance Claims	Financial Services	10 years after settlement	
Insurance Records & Policies	Financial Services	6 years after termination	Current
International Student Admission File	Admissions	Per SEVIS, 3 years after the student graduates or completes the OPT (7 -9 years)	Current
Inventories	Any Office	7 years	Current
Investment statements, ledgers, and asset sale and purchase records	Financial Services	7 years for statements. 7 years after disposal for purchase/sale records.	Current
Investments (Annual Reports)	Financial Services	Permanent	Until Superseded
Job Announcements	Human Resources	7 years after termination	Until Read
Memorabilia	Call Archives	Call archives	Call Archives
Minutes – standing subcommittees	President’s Office	Permanent	Active
Minutes-ad hoc committees	Committee Chair	Permanent	Active
Minutes-faculty council/assembly	Secretary	Permanent	Active
Minutes-outside organizations	Any Office	3 years	Until read
Minutes-standing committees	President’s Office	Permanent	Active
News Releases	Public Affairs	Permanent	Until Read

Record Type	Who is the official copy holder?	How long do we retain the official copy?	How long do others retain other copies?
Non-resident Alien Tax Records	Financial Services	4 years after payee leaves Doane	Active
Notes Receivable Ledgers, Schedules	Financial Services	7 years after expiration	—
OSHA reports	Human Resources	7 years after posting	after posting
Payroll Reports – Student and Employee Payroll Check Register, Retirement Documents, Distribution & Flex	Financial Services	7 years	Current
Payroll Reports – Student Payroll Register, Student Payroll Distribution, Student Time Cards, Employee Payroll Register, Employee Payroll Distribution, Employee Timecards	Financial Services	7 years	Current
Payroll Tax Records -Forms 941, 1042, 1042S,W-2, W-3, W-4, IA Unemployment	Financial Services	7 years	Current
Perkins Loan Files	Student Accounts	Repayment records - 3 yrs. from date loan assigned, cancelled, or repaid. Original Prom Notes - Until loan is satisfied or documents are needed to enforce obligation.	—
Personnel Files- Faculty/Staff (Job description, performance reviews, faculty eval, HR Action Form, employment letters/contracts, tenure agreements, compensation letters/forms, corrective action, employee information record, training documents, conflict of interest, handbook acknowledgement, memos of record	Human Resources	7 years post termination	Termination
Personnel Files-Faculty (Contracts, Reviews, Retirement, Pension)	Office of the Dean	7 years post termination	Termination
Personnel Records - Benefits Enrollment/forms	Human Resources	7 years after termination	Termination
Personnel Records - I-9	Human Resources	1 year after termination or 3 years from DOH. Whichever is later.	Termination

Record Type	Who is the official copy holder?	How long do we retain the official copy?	How long do others retain other copies?
Personnel Records - Payroll records	Human Resources	7 years after termination	Termination
Personnel Records - Retirement Plan Forms	Human Resources	1 years after termination from the retirement plan	Termination from the plan
Personnel Records - termination documents	Human Resources	7 years after termination	Termination
Personnel Records - W-4	Human Resources	4 years after termination	Termination
Personnel Records (Current accident reports, claims, workman's comp)	Human Resources	7 years after termination	Termination
Personnel Records FMLA/USERRA	Human Resources	4 years after termination	Termination
Petty Cash Vouchers	Any Office	4 years	—
Purchase Orders	Financial Services	7 years	3 years
Receipts	Financial Services	4 years	3 years
Sales and Use Tax	Financial Services	7 years	Current
Student Academic Records, Grade Sheets	Registrar	Permanent	Until Obsolete
Student Earning Records	Financial Aid	7 years	Until Obsolete
Student Petitions	Student Affairs	Permanent	Active
Student Surveys	Office of Origin	3 years, 10 years for good historical reference	—
Student Teaching Evaluations	Education	Permanent	—
Study Abroad Applications	Director of International Programs	5 Years	—
Syllabi	Dean of the College	Permanent	—
Tax Returns – Forms 1096,1098E, 1098T, 1099MISC, 1099R	Financial Services	7 years	Current
Tax Returns & Prep Docs -Forms 990, 990T, 8282,8823, TD F 90-22.1, IA 1120	Financial Services	Permanent	Current
Time Cards	Payroll	5 years	—
Title IX and Judicial Records	Student Affairs	Permanent	Active
Travel Expense Reports	Financial Services	7 years	Current