

Lawrence University General Records Retention Schedule

Introduction

This schedule covers records common to most or several departments or offices (units) at Lawrence University. Retention periods are derived from various federal and state laws, professional best practices, internal practices, and other requirements and are subject to change. **Because not all records have these requirements, almost every department or office will have records that are not specified on this schedule.** This schedule may be supplemented by unit-specific records schedules as needed. Any unit-specific schedules must be in compliance with this General Records Retention Schedule and be approved by the records coordinator and head of the unit as well as the Records Management Advisory Group.

For questions about interpreting or implementing the General Records Retention Schedule or to create a unit-specific retention schedule, please contact the University Archivist at x6753 or archives@lawrence.edu.

Official Copies and Duplicates

Certain types of records listed in this schedule are likely to have copies residing (in hard copy or electronically) in more than one office or department. In those cases, a unit has been designated as the holder of the official copy (usually the unit that generated the record); this unit has the responsibility for retaining that record for the required period of time. Any copies of records held in other units or by other individuals are classified as duplicates and should follow the guidance specified for duplicates when indicated in the schedule. (Copies of records containing additional notes, marginalia, or proposed revisions are **not** duplicates and must be retained as separate official records.) As a general rule, a duplicate of a record should not be retained for longer than the official copy.

Procedures for Records Disposition

Records Destruction

Prior to destroying any scheduled records, ensure that 1) the designated retention period has elapsed, and 2) there is no pending litigation that would require suspension of records destruction. Destruction of official copies of scheduled records requires the completion of a **Certificate of Records Destruction** to be signed by the records coordinator and office or department head. Completed certificates must be sent to the University Archives for permanent retention to serve as evidence of the records' destruction in compliance with approved schedules.

Routine records containing no personal or sensitive information can be destroyed through regular recycling or deletion. Any records containing personal information (including but not limited to: grades, Social Security numbers, credit card information, and medical information) must be

confidentially destroyed. For paper records, confidential destruction requires shredding. For records stored on your departmental or personal network drives, regular deletion is sufficient. For confidential destruction of CDs, DVDs, or other external media, contact Technology Services.

Transferring Records to Archives

Prior to transferring any records, contact the Archives (except for a regularly scheduled transfer). Once a transfer of records has been agreed upon, physical records should be boxed and sent to the Archives in the order in which they were maintained in the campus office. Please discard duplicates, blank forms, and draft versions of documents. A letter briefly identifying the material and describing the activity to which it relates should accompany the transfer.

Records in all formats (e.g., published, typescript, audiovisual, and digital) are appropriate for consideration for transfer. Early consultation with the University Archivist is strongly encouraged for transfer of materials which require any form of machine intervention. The Archives will retain electronic records of permanent or enduring value in formats and with migration schedules to maximize the future accessibility of their content. Routine data backup is not a substitute for transferring electronic records with permanent value to the Archives.

Warning: Do not follow this records retention schedule to destroy records that are currently part of—or you are aware that they are going to be part of—any legal action or proceeding, litigation, audit, investigation, or review. For more information on litigation holds, see the Lawrence University Records Management Policy.

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Academic Departments and Programs Records

Record Type	Description	Record Holder	Retention	Disposition / Comments
Accreditation records	Records documenting the institutional accreditation process for Lawrence by various accrediting bodies, including, but not limited to: self-evaluation reports, final reports sent to the accreditation organization, statistical data, working papers, evaluation reports, and related documentation and correspondence	Unit managing the accreditation process	Permanent	Consult Archives for transfer
Course catalog	The course catalog documents the courses offered by departments and programs	Office of the Registrar	Permanent	Send copy to Archives upon publication
Department or program review records	Records documenting the internal curricular review for academic departments or programs, including, but not limited to: self-evaluation reports, syllabi, statistical data, and related correspondence and documentation	Office of the Provost and Dean of the Faculty	Permanent	Consult Archives for transfer
Funded grant proposal records	Records documenting funded grant proposals, including, but not limited to: grant proposal narratives, budgets, application forms, and letters of support; notices of awards from funding entities; agreements/contracts; related correspondence; and interim and final reports	Official: Office of Corporate, Foundation, and Sponsored Research Support	Permanent	Consult Archives for transfer
		Duplicates	As needed	Confidentially destroy
Funded grant accounting records	Records documenting the revenues and expenditures associated with funded grants	Official: Financial Services	<i>Refer to office-specific schedule</i>	Confidentially destroy
		Duplicates	As needed	Confidentially destroy
Unfunded grant proposal records	Records documenting unfunded grant proposals, including all application materials and notifications of rejection	Official: Office of Corporate, Foundation, and Sponsored Research Support	As needed	Confidentially destroy
		Duplicates	As needed	Confidentially destroy

Administrative Records

Record Type	Description	Record Holder	Retention	Disposition / Comments
Administrative files	Substantive files, including correspondence, memoranda, project and subject files that document the significant operations of the unit	Any unit	Retain in office as long as needed	Consult Archives for transfer
Board of Trustees records	Records documenting the functions, activities, and decision-making practices of the Board of Trustees, including meeting materials, correspondence, policies, and background materials	Office of the President	Permanent	Send copies of all Board meeting materials to Archives upon finalization
General files	Transitory files created during the day-to-day operation of any unit, including calendars, routine correspondence, meeting notes, drafts of reports, convenience copies of records from other units, and other records that do not provide substantive or unique information about programs or operations	Any unit	Retain in office as long as needed	Shredding or other means of confidential destruction is not required unless records contain confidential information
Institutional research records	Records documenting the collection, interpretation, and dissemination of institutional research	Office of Research Administration	CDS, CIRP, IPEDS, and NSSE final reports: Permanent	Send copies to the Archives upon finalization
			Others: As needed	Confidentially destroy
Meeting minutes and agendas	Records documenting the orders of business and proceedings of meetings held by units and committees	Any unit or committee	Permanent	Faculty meeting minutes and agendas: Send copy to the Archives upon finalization Others: Consult Archives for transfer
Policy and procedure records	Policies and procedures documenting a department, office, program, or the entire University's values, rules, activities, and processes	Any unit	Permanent	Send copies of all policy and procedural documents to the Archives upon finalization
Publications	Publications documenting the activities of a unit, the entire University, or any other aspect of Lawrence, including, but not limited to: web publications, catalogs, books, magazines, newsletters, handbooks, yearbooks, directories, media guides, and guidebooks	Any unit	Final publications: Permanent	Send copy to Archives when distributed
			Supporting materials: As needed	Confidentially destroy
Reports	Periodic or special reports that document any activity or project	Any unit	Retain in office as long as needed	Consult Archives for transfer

Senior administration records	Records documenting the functions, activities, and decision-making practices of senior administrative offices, including the Office of the President, Vice Presidents, and Deans	Senior administrative offices	Permanent	Consult Archives for transfer
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Employment Records

Record Type	Description	Record Holder	Retention	Disposition / Comments
Employment search and hiring records for faculty and staff	Records documenting employment searches, including, but not limited to: résumés, applications, references, results of physical examinations considered in conjunction with hiring process, internal and external job postings, rejection letters and offer letters where offer is rejected, background checks and other records related to the hiring process for applicants not hired	Official: Human Resources	<i>Refer to office-specific schedule</i>	Confidentially destroy
		Search-related records held by search committees	Close of search	Confidentially destroy
Employee files for faculty and staff	Records documenting individual employee work histories, including, but not limited to: job descriptions, applications, CVs/resumes, terms of compensation, correspondence, performance reviews, personnel actions, various personnel forms, and payroll file (including W-4, direct deposit and any other payroll or payroll adjustment documents); as well as employee occupational illness or injury records and employee benefits plan records	Human Resources	<i>Refer to office-specific schedule</i>	Confidentially destroy
Faculty files	Records documenting the appointment and subsequent work history of faculty members, including annual reports; reappointment, promotion and tenure materials; and related correspondence	Office of the Provost and Dean of the Faculty	Permanent	Retain in office until separation of individual, then transfer to Archives
Student employment files	Other records documenting student employment, including, but not limited to: applications, position descriptions, correspondence, resumes, W-2 forms, evaluations, and termination notices	Human Resources	<i>Refer to office-specific schedule</i>	Confidentially destroy
Student employment payroll records	Records documenting the time tracking and payroll activities of work-study and/or regular departmental budgeted student employees	Financial Services - Payroll	<i>Refer to office-specific schedule</i>	Confidentially destroy

Financial Records

Record Type	Description	Record Holder	Retention	Disposition / Comments
Accounts payable	Records documenting a unit's expenditures and purchases, including, but not limited to: departmental purchase orders, credit card charge slips and statements, bills, invoices, journal vouchers, justifications of purchases, payment authorizations, reports of receipt of goods or services, and receipts	Official: Financial Services	<i>Refer to office-specific schedule</i>	Confidentially destroy
		Duplicates	2 years	Confidentially destroy
Accounts receivable	Records used by departments and offices to document billing and collection activities, including, but not limited to, invoices, journal vouchers, checks, and receipts	Official: Financial Services	<i>Refer to office-specific schedule</i>	Confidentially destroy
		Duplicates	2 years	Confidentially destroy
Audit reports	Reviews, findings, and recommendations of internal and external auditors	Financial Services	Permanent	Consult Archives for transfer
Budget records	Records documenting departmental fiscal activity presented in summary form which may be used for budget planning, including, but not limited to: working papers, memoranda, final summary reports and spreadsheets, and related documentation and correspondence	Official: Financial Services	<i>Refer to office-specific schedule</i>	Confidentially destroy
		Duplicates	Summary Budget Reports: Permanent All Other Records: Until no longer needed	Summary Budget Reports: Consult Archives for transfer All Other Records: Confidentially destroy
Gift records	Records documenting potential or realized private, corporate, or public agency funding to the University, including, but not limited to: award guidelines, letters and agreements of gifts, copies of bequest instruments and wills from individuals or estates, financial statements and reports, and related documentation and correspondence	Development	Permanent	Retain in office
Payroll records	Records including garnishment accounting, garnishment orders, payroll checks, payroll history, payroll records, and payroll registers	Financial Services - Payroll	<i>Refer to office-specific schedule</i>	Confidentially destroy
Tax records	Tax filings and returns	Financial Services	7 years	Confidentially destroy

Legal Records

Record Type	Description	Record Holder	Retention	Disposition / Comments
Contracts	Records including, but not limited to: agreements, contracts, leases, mortgages, and all property sale and/or improvement contracts	Official: Financial Services	Life of the contract + 6 years	Confidentially destroy
		Duplicates	As needed	Confidentially destroy
Litigation records	Records documenting legal cases involving the University, including investigative documents, pleadings, final resolutions, and supporting materials	Vice President for Business and Operations	Pleadings and final resolutions: Permanent	Consult Archives for potential transfer
			Other records: 3 years after final resolution of case	Confidentially destroy
Grievance records	Records documenting grievances raised by employees and/or the University, including investigative documents, statements, final decisions, and supporting materials	TBD	TBD	TBD

Safety and Operations Records

Record Type	Description	Record Holder	Retention	Disposition / Comments
Building, system, and land plans	Records documenting the graphic representation of campus buildings, systems, and land, including architectural blueprints, aerial photographs, as-built drawings, and drawings reflecting changes to the original plans	Office of Facility Services	Final/record set drawings, as-built drawings, aerial photographs: Permanent	Consult Archives for transfer beyond life of the building
			Building specifications; electrical, mechanical, and plumbing plans; other drawings or plans required for maintenance: Life of the building	Confidentially destroy
Construction project records	Records used to document the planning, administration, and implementation of current and potential construction projects; to project needs for projects; and as a reference to projects once they have been completed	Designated project team or unit	Permanent	Transfer to Archives upon project completion
Facilities daily operations records	Records including building, zoning, or operating permits; maintenance records; and motor vehicle records	Office of Facility Services	While active	Confidentially destroy
Hazardous materials records	Records documenting the generation or disposal of hazardous materials, including Material Safety Data Sheets	Office of Facility Services	Underground storage tank records: Retained for the life of the tank. Upon removal, retain site removal/condition report permanently.	With the exception of the site removal/condition report, confidentially destroy
			Other hazardous waste records: Permanent	Consult Archives for potential transfer
Sexual Harassment and Assault Review Board records	Records documenting formal complaints of sexual harassment or sexual assault filed by Lawrence faculty, staff, or students and investigated by an external consultant	Administrative Coordinator for SHARB	Permanent	Retained in office
WI Department of Natural Resources regulatory records	Records documenting compliance with Wisconsin Department of Natural Resources regulations, including air emission reports, etc.	Office of Facility Services	30 years	Confidentially destroy

Student Records

Record Type	Description	Record Holder	Retention	Disposition / Comments
Admissions files for students who do not matriculate	All application materials, including essays, letters of recommendation, transcripts, test scores, audition results	Office of Admissions	3 years	Confidentially destroy
Admissions files for matriculated students	All application materials, including essays, letters of recommendation, transcripts, transfer credit evaluations, test scores, and audition results	Office of Admissions	Letters of recommendation: Destroy before matriculation. Other materials: Add to Student academic file	Confidentially destroy
Conservatory student records	Records of students in the Conservatory of music, including repertoire reports, examination forms, and correspondence	Conservatory of Music	10 years after graduation or date of last attendance	Confidentially destroy
International student records	Immigration records and related communication required by the Federal Code of Regulations for F-1 students and J-1 exchange visitors: 8 CFR 214.3(k)(2); 22 CFR 62.10(h).	International Student Services Office	6 years after graduation or date of last attendance	Confidentially destroy
Permanent student academic records	Records of sessions attended, classes attempted, grades (including grade history) and credit earned, GPA, academic standing, instructors, transfer and exam credit awarded, academic advisor history, awards and prizes, academic record notations, graduation citation, transcripts released at the request of the student, requests for academic record information filled without student authorization, and basic biographical information	Office of the Registrar	Permanent	The Office of the Registrar remains the custodian for permanent student academic records.
Student academic file	Academic forms, graduation applications, correspondence, enrollment verifications, degree verifications made in writing, academic action letters, academic petitions, record release requests made by the student, subpoena for records and records released, VA benefits materials	Office of the Registrar	5 years after graduation or date of last attendance	Confidentially destroy

Student advising records	Records documenting student advising, including academic program scheduling and advisor's notes	Faculty advisor / academic department or program	5 years after graduation or date of last attendance (minimum)	Confidentially destroy
Student disability records	Records documenting services for students with disabilities	Student Academic Services	5 years after graduation or date of last attendance	Confidentially destroy
Student disciplinary records	Records documenting academic or behavioral misconduct, including copies of complaints and responses, accounts of hearings, statements from the Judicial Board or Honor Council, correspondence from Deans regarding disciplinary matters, and any material related to an appeals process that was sent to the accused party	Academic misconduct records: Student Academic Services Office	5 years after graduation or date of last attendance <i>Note: Summary information retained indefinitely</i>	Confidentially destroy
		Other disciplinary records: Dean of Students Office	Until graduation or date of last attendance <i>Note: Summary information retained indefinitely</i>	Confidentially destroy
Student financial aid records	Records documenting the providing and receipt of financial aid, including records related to Pell grants, ACG/Smart grants, TEACH grants, Perkins Loans, FFEL and Direct Loans; and Fiscal Operating Reports (FISAP)	Office of Financial Aid	<i>Refer to office-specific schedule</i>	Confidentially destroy
Student health and counseling records	Records including medical and mental health histories, clinical notes, immunization records, consent forms, and related materials	Health Services and Counseling Services	7 years	Confidentially destroy