

THE UNIVERSITY OF NORTH CAROLINA

University General Records Retention and Disposition Schedule

The Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA SYSTEM

do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records, including electronic records, not listed in this schedule or in an official, approved institutional records schedule that meets the minimum retention periods specified in this University General Schedule are not authorized to be destroyed.**

The

INSTITUTIONS OF THE UNIVERSITY OF NORTH CAROLINA SYSTEM

agree to destroy, transfer or dispose of records in the manner and at the times specified herein or in an official, approved records schedule that meets the minimum retention periods specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED



David Brook, Director
Division of Historical Resources

APPROVED



Erskine Bowles, President
University of North Carolina System



Lisbeth C. Evans, Secretary
Department of Cultural Resources

Date: June 5, 2007

UNIVERSITY OF NORTH CAROLINA

**General Records Retention and
Disposition Schedule**

April 2007

MANAGING PUBLIC RECORDS IN THE STATE-SUPPORTED UNIVERSITIES OF NORTH CAROLINA

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CONTACT INFORMATION

For more information contact the University Records Officer or Archivist, or your University Library for your institution. If you don’t know who your University Records Officer or Archivist is, contact the Government Records Branch of DCR at 919-807-7350.

PUBLIC RECORDS AND RETENTION SCHEDULE

1) What is the “University Records Retention and Disposition Schedule”?

This document—also known as the University General Schedule—is a tool for the staff and faculty of the institutions of higher education in the University of North Carolina System (UNC) to use when managing the records in their offices. It lists records commonly found in University offices and gives an assessment of their value by indicating when (and if) those records should be destroyed. The University Archivist is authorized to retain any record that he or she deems to have archival value.

This schedule is also an agreement between the UNC System and the Department of Cultural Resources (DCR). If your University already has records schedules for individual offices on your campus, this University General Schedule does not supersede those schedules without specific authorization by your Chancellor, University Counsel, and your University Records Officer or Archivist. Your institution’s use and application of this University General Schedule and existing individual office records schedules fall under the direction and authority of these officials. This schedule serves as the inventory and schedule that the Department of Cultural Resources is directed by G.S. 121-5 (c) and G.S. 132-8 to provide. It supersedes all previous editions, including the University General Schedule issued in 1991.

2) Why do I need this schedule?

According to G.S. 121-5 and G.S. 132-3, you may only destroy public records with the consent of the Department of Cultural Resources. This schedule, along with individual office schedules, is the primary way DCR gives its consent. Records, regardless of medium, not listed on this schedule or in an individual office records schedule may not be destroyed without the consent of DCR and your University Records Officer or Archivist.

3) What are public records?

The General Statutes of North Carolina, Chapter 132, provides this definition of public records: "Public record" or "public records" shall mean all documents, papers, letters, maps, books, photographs, films, sound recordings, magnetic or other tapes, electronic data- processing records, artifacts, or other documentary material, regardless of physical form or characteristics, made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions. Agency of North Carolina government or its subdivisions shall mean and include every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority or other unit of government of the State or of any county, unit, special district or other political subdivision of government.

4) Are the documents and other records on my computer also “public records”?

Yes. G.S. 132 (above) points out that any record generated in the conduct of the University’s business is a public record, “regardless of physical form or characteristics.”

5) How can I know for sure if I have any “public records”?

Nearly every position in a University or in state government generates, receives, or uses records. Computer files of any kind, including drafts and email, are public records. Even if your records aren’t the official or final version, your records are public records. Not all records have high historical, legal, or fiscal value, but they all must be destroyed in accordance with the provisions of the appropriate records schedule.

6) Do I have to have all of the records listed on this schedule?

No. This is not a list of records you must have in your office.

7) What if I can’t find some of my records on this schedule?

Call your University Records Officer or Archivist. He or she will work with you to create an individual office schedule or amend a current schedule.

8) How do I get a specific records schedule to cover the “record series” for my office or department?

Contact your University Records Officer or Archivist and ask whether a records schedule already exists for your office. If it does, determine the date of the records schedule and ask for an update if necessary. If a schedule has never been done, request an inventory of your records under the guidance of your University Records Officer or Archivist, or request help in using this University General Schedule. He or she will then initiate contact with the Government Records Branch of DCR regarding the completion or update of your records schedule, or provide guidance in using this document.

The inventory of your records will result in a listing of files or documents commonly grouped together, which is formally known as a “record series.” A record series is a group of identical or related records that are used and filed as a unit because they result from the same activity or function or they result from being created, received, or used in the same activity.

Remember that the use of individual office schedules and this University General Schedule should only occur after consulting your University’s administration (see the question above, “What is the University Records Retention and Disposition Schedule?”) and specifically the University Records Officer or Archivist. This is especially the case if your office intends to destroy records. If you don’t know who your University Records Officer or Archivist is, contact the Government Records Branch of DCR at 919-807-7350.

MAINTAINING PUBLIC RECORDS

9) If we scan and image our records, do we need to keep the paper version?

You may scan any record, including permanent records. Your office should follow the instructions in the North Carolina Guidelines for Managing Public Records Produced by Information Technology Systems to conduct the Self Warranty process. You should consult the University Records Officer or Archivist before destroying any permanent records on paper that have been digitized. He or she will discuss with you the appropriate medium or format for the permanent preservation of the records concerned. Computer systems do not have long life cycles. Each time you change computer systems, you will have to convert all records to the new system so that you can assure their preservation and provide access. In many cases, in view of technological obsolescence, especially of software, only paper or microfilm is suitable for permanent preservation. The essential task is to assure that records with historical value remain accessible indefinitely into the future. Non-permanent records may be retained in any format. You will have to take precautions with records that you must keep longer than about 10 years for the same reasons addressed above regarding the short life cycle of computer systems. Your office will still be required to conduct the Self-Warranty process described above.

10) Should I print my email out and file it?

As long as the email is not a permanent record, as defined by the schedule, you may elect to keep it in electronic format. Some Universities may have email policies that give specific guidance for when emails should be printed out. Check with your University Records Officer.

11) Why don’t we just keep all of our computer records since computer storage is so cheap?

The best practice is to destroy all records that have met their retention requirements at the same time, regardless of format or medium.

ACCESSING PUBLIC RECORDS

12) Can anyone see my records?

Yes, except as restricted by specific provisions in state or federal law. G.S. 132-6 instructs: “Every custodian of public records shall permit any record in the custodian's custody to be inspected and

examined at reasonable times and under reasonable supervision by any person, and shall, as promptly as possible, furnish copies thereof upon payment of any fees as may be prescribed by law... No person requesting to inspect and examine public records, or to obtain copies thereof, shall be required to disclose the purpose or motive for the request.”

13) What about confidential records?

Not all records meeting the statutory definition of a public record under G.S. 132-1 are open to public inspection. Exceptions to the access requirements in G.S. 132-6 and the definition of public records in G.S. 132-1 are found throughout the General Statutes and in federal law (particularly student records, most personnel records, and medical records of students or staff). You must be able to cite a specific provision in the General Statutes or federal law when you restrict or deny access to a particular record.

14) Why don't I just use my personal email account for work since it is more private?

The best practice is to avoid using personal resources, including private email accounts, for public business. G.S. 132-1 states that records “made or received pursuant to law or ordinance in connection with the transaction of public business by any agency of North Carolina government or its subdivisions” are public records (emphasis added). The fact that public records reside in a personal email account is irrelevant. Likewise, use of a state-owner computer for personal email does not mean that personal email is not subject to inspection by third parties. Your university may prohibit use of a personal email account for official business.

DESTRUCTION OF PUBLIC RECORDS

15) What is a “legal hold” or “litigation hold” on records and when does it apply?

A legal hold or litigation hold means that records that are the subject of the legal hold or litigation hold **must be preserved and thus must not be destroyed** until officially released from the hold. A legal hold or litigation hold is placed when either an official discovery order is served on the University requesting the production of the records in question (for a litigation, regulatory investigation, audit, open records request, etc.) or litigation is pending and the University is thus on notice to preserve all potentially relevant records. You must also ensure that for a claim or litigation that appears to be reasonably foreseeable or anticipated but not yet initiated, any records (in paper or electronic formats) relevant to such a claim or litigation are preserved and not destroyed until released by your University Counsel. The records in question must not be destroyed until the completion of the action and the resolution of all issues that arise from it regardless of the retention period set forth in this schedule. If you have any questions contact your University Counsel.

16) When can I destroy records?

Each records series listed on this schedule or in a specific office records schedule has specific disposition instructions that will indicate how long that series must be kept in your office. In some cases, the disposition instructions will call for permanent retention in an Archives, a designated, authorized storage space meeting certain conditions, or your office. (See also the question above, “What do I do with permanent records?”)

17) How do I destroy records?

Records which have met their required retention requirements and are not subject to legal or other audit holds should be destroyed in one of the following ways:

- a) burned, unless prohibited by local ordinance
- b) shredded, or torn up so as to destroy the record content of the documents or material concerned
- c) placed in acid vats so as to reduce the paper to pulp and to terminate the existence of the documents or materials concerned
- d) buried under such conditions that the record nature of the documents or materials will be terminated
- e) sold as waste paper, provided that the purchaser agrees in writing that the documents or materials concerned will not be resold as documents or records

- N.C. Administrative Code, Title 7, Chapter 4, Subchapter M, Section .0510

- f) for records subject to the Fair Credit Reporting Act (15 U.S.C. 1681 et seq.), a method of destruction that complies with federal requirements.

Confidential records should be destroyed in a secure manner so that the information contained in them cannot be viewed, used or recreated. For electronic records, permanent erasure or deletion of records or data requires specialized software, equipment, and/or skills. If this level of destruction is required, it is best to consult with IT professionals. Physical destruction of hard drives, magnetic tapes, CDs, or other electronic storage media is another means of disposal of media containing confidential or sensitive electronic records or data.

Non-confidential records may be recycled or thrown out in accordance with the waste disposal policies and procedures of your University. Documenting record series destruction is advised. Contact your University Records Officer or Archivist for more information.

18) When can I delete my email?

Electronic mail is just as much a record as any traditional paper record, and must be treated in the same ways. It is the content of each message that is important. If a particular message would have been filed as a paper memo, it should still be filed (either in your email program or in your regular directory structure), and it should be retained the same length of time as its paper counterparts. It is inappropriate to destroy email simply because storage limits have been reached.

Three of our publications will be particularly helpful:

- *E-Mail as a Public Record in North Carolina: Guidelines for its Retention and Disposition*
- *E-Mail User Guidelines Checklist*
- *North Carolina Public Records with Short-Term Value: Guidelines for their Retention and Disposition* (located at the end of this section, page VIII).

19) How do we destroy records that are not listed on any schedule?

Contact the University Records Officer or Archivist. He or she will discuss the nature of the records with you to determine if the records have historical value. If the records do have historical value, he or she will discuss the possibility of transferring the records to the Archives or to another designated, authorized permanent storage area.

- If the records are an active records series, the University Records Officer or Archivist will help you develop or amend a schedule so that you can continue to destroy the records appropriately. If the records do not have historical value and are not currently being created, the University Records Officer or Archivist will ask you to complete a "Request and Approval of Unscheduled Records Disposal Form." He or she will forward that form to the DCR Government Records Branch to make a determination about that destruction.

20) Should I keep track of or inform someone about the records being destroyed?

We recommend that you report on your records retention activities to your University Records Officer or Archivist on an annual basis. This report does not need to be detailed, but it is important that significant destructions be reported to University Records Officer or Archivist.

HISTORICAL RECORDS

21) What do I do with permanent records?

Permanent records (records with permanent historical value) should be transferred in accordance with the disposition requirements of this University General Schedule, or the provisions of your individual office records schedule, to your University Archives. If your institution does not have an Archives, contact your University Records Officer or the University Library. If no other space is available, the records must be maintained permanently in the office that created the records, or in a storage space that is controlled for temperature and humidity, free of pests and insects, and secure from unauthorized entry. Your office must ensure that any records stored away from your main

office area are well protected from natural and man-made problems, while remaining readily available to your staff and the public. Public records are public property.

22) What does it mean for records to have historical value?

Records with historical value document significant events, actions, decisions, conditions, relationships, and similar developments. These records have administrative, legal, fiscal, or evidential importance for the University, for state government, or for its citizens. Call your University Records Officer or Archivist for further assistance.

23) What should I do with the really old records that I have just found?

Call your University Records Officer or Archivist. He or she will help you examine the records and assess their historical value.

24) Can I give my old records to the historical society or public library?

Before you offer any record to a historical society, public library, or any other entity, you must contact your University Records Officer or Archivist. Permanent records must be kept either in your offices, in your University Archives, or in an authorized space designated for the storage of permanently valuable records.

DISASTER RECOVERY

25) What should I do in case of fire or flood?

Secure the area, and keep everyone out until fire or other safety professionals allow entry. Then, call our Raleigh office at (919) 807-7365 for the Head of the Local Records Program or (919) 807-7339 for the State Preservation Officer. If you're in the western part of the state, call our Asheville Office at (828) 274-6789. Nights and weekends, call your local emergency management office. Be sure to notify your University Records Officer or Archivist immediately after taking the steps noted above.

DO NOT ATTEMPT TO MOVE OR CLEAN ANY RECORDS.

Damaged records are extremely fragile and require careful handling. Our staff is trained in preliminary recovery techniques, and professional vendors can handle your larger disasters.

26) What help do you give in case of an emergency?

We will do everything we can to make a visit to you at the earliest opportunity to provide hands-on assistance. We can assist you in appraising the records that have been damaged so that precious resources (and especially time) are not spent on records with lesser value. We can provide lists of professional recovery vendors that you can contact to preserve your essential and permanent records.

27) What can I do to prepare for an emergency?

We provide training to interested Universities and governments on disaster preparation. We discuss the roles of proper inventories, staff training, and advance contracts with recovery vendors. If you would like to have this workshop presented, just call the analyst assigned to your county.

PUBLIC RECORDS WITH SHORT-TERM VALUE

GUIDELINES FOR THEIR RETENTION AND DISPOSITION

According to North Carolina General Statutes 121 and 132, every document, paper, letter, map, book, photograph, film, sound recording, magnetic or other tape, electronic data processing record, artifact, or other documentary material, regardless of physical form or characteristic, made or received in connection with the transaction of public business by any state, county, municipal agency, or other political subdivision of government is considered a public record and may not be disposed of, erased, or destroyed without specific guidance from the Department of Cultural Resources. The Department of Cultural Resources recognizes that many records exist that may have very short-term value to the creating agency. These guidelines, along with any approved program records retention and disposition schedule, are intended to authorize the expeditious disposal of records possessing only brief administrative, fiscal, legal, research, or reference value, in order to enhance the efficient management of public records. Examples of those records include:

- facsimile cover sheets containing only transmittal (“to” and “from”) information, or information that does not add significance to the transmitted material
- routing slips or other records that transmit attachments
- reservations and confirmations
- personal messages (including electronic mail) not related to official business
- preliminary or rough drafts containing no significant information that is not also contained in the final drafts of the records
- documents downloaded from the World Wide Web or by file transfer protocol not used in the transaction of business
- records that do not contain information necessary to conduct official business, meet statutory obligations, carry out administrative functions, or meet organizational objectives

The records described above may be destroyed or otherwise disposed of when their reference value ends.

These guidelines are not intended to serve as authorization to destroy or otherwise dispose of unscheduled records. They are intended to complement the use of an approved records retention and disposition schedule for the creating government or agency, not replace or supersede it. Should a creating government or governmental agency lack an approved records retention and disposition schedule, it may not destroy or otherwise dispose of any records in its custody, whether in electronic, paper, or other format (including electronic mail) until it receives approval of its “Request and Approval of Unscheduled Records Disposal” (located at the end of this schedule). Such offices should contact the University Archivist or University Records Officer for assistance in creating a schedule though final approval of any University records retention schedules shall require the consent of the Government Records Branch of the Division of Historical Resources, N.C. Department of Cultural Resources.

While records of short-term value may be discarded as described above, all public employees should be familiar with specific records retention and disposition schedules and applicable guidelines for their office and the public records law (G.S. 132). When in doubt about whether a record has short-term value, or whether it has special significance or importance, retain the record in question.

ALPHABETICAL LIST OF UNIVERSITY RECORD SERIES

ADMINISTRATIVE RECORDS	ADMINISTRATIVE RECORDS (Continued)	FINANCIAL RECORDS (Continued)
GU01 Accident Reports	GU38 Supplies and Equipment	GU74 Disbursing Accounts Statements
GU02 Accreditation	GU39 Surplus Property	GU75 Escheats Statements
GU03 Activities & Events	GU40 Trademark Records	GU76 Financial Records System (database)
GU04 Administrative	GU41 Travel Requests and Reimbursements	GU77 Fixed Assets
GU05 Administrative Reference	GU42 University Code	GU78 Funding Increments
GU06 Agreements, Contracts, and Leases	GU43 Vehicle Titles	GU79 Insurance Deductions
GU07 Americans with Disabilities Act (ADA) Compliance	GU44 Vehicle Operations & Maintenance	GU80 Invoices
GU08 Annual Reports	GU45 Vendors Information	GU81 Lapsed Salaries
GU09 Audit Reports	GU46 Visitor Registration Logs	GU82 Loans
GU10 Awards and Honors	GU47 Work Orders	GU83 Mail Transmittal Slips
GU11 Biographical	GU48 Work Schedules	GU84 Monthly Budget Reports
GU12 Board of Trustees	GU49 Workers' Compensation	GU85 Payroll
GU13 Building Use		GU86 Payroll Deductions
GU14 Calendar of Events	FACILITIES SERVICES RECORDS	GU87 Purchase Orders
GU15 Committees, Councils, Task Forces	GU50 Blueprints, Plans and Drawings	GU88 Reconciliation Reports
GU16 Complaints	GU51 Building Maintenance, Housekeeping	GU89 Requisitions
GU17 Conferences, Training Programs and Workshops – Attended	GU52 Capital Improvement Proposals	GU90 Requisitions for Transfer of Funds
GU18 Conferences, Training Programs and Workshops – Conducted	GU53 Capital Improvements	GU91 Retirement Reductions
GU19 Copyright Records	GU54 Insurance	GU92 Returned Checks
GU20 Emergency Management	GU55 Non-Capital Improvements	GU93 Reversion and Continuation of Agency Funds
GU21 Energy Conversation	FINANCIAL RECORDS	GU94 Sales Tax
GU22 Equipment Maintenance & Repair	GU56 1099 File	GU95 Social Security Deductions
GU23 Facility Security	GU57 Accounts Payable	GU96 Student Accounts
GU24 Faculty Governance	GU58 Accounts Receivable	GU97 Tax Forms
GU25 Films / Videotapes	GU59 Accounts Uncollectible	GU98 Telephone Billings
GU26 Grants, Awarded	GU60 Annual Financial Statement Report	GU99 Travel Reimbursements
GU27 Grants, Proposals	**** Audit Reports (see GU09)	GU100 Utility Bills and Logs
GU28 Historical Memorabilia	GU61 Bank Statements	GU101 Vouchers
GU29 Internships / Assistantships / Fellowships	GU62 Bidder's Applications	GU102 WH-1, WH-3 Forms
GU30 Mailing Lists	GU63 Bids	
GU31 News Releases & Public Relations	GU64 Bond Book	DEVELOPMENT RECORDS
GU32 Patent Records	GU65 Bonds and Other Borrowing	GU103 Annual Giving
GU33 Planning	GU66 Budget	GU104 Capital Campaign
GU34 Self Study	GU67 Cancelled Checks	GU105 Custodian Investment Reports
GU35 Speeches	GU68 Capital Improvements Accounting	GU106 Donors & Prospects
GU36 Staff Organizations	GU69 Cash Receipts	GU107 Endowment Agreements
GU37 Student Surveys	GU70 Cost Accounting Reports	GU108 Gifts-in-Kind Reports
	GU71 Credit Card Use	GU109 Individual Fund Balances
	GU72 Deposits	GU110 Investment Management Reports
	GU73 Direct Deposit Forms	GU111 Legal & Administrative

DEVELOPMENT RECORDS (Continued)

- GU112 Life Income Agreements
- GU113 Major and Planned Gifts
- GU114 Property / Real Estate
- GU115 Scholarship / Awards
- GU116 Tax Return
- GU117 Trust, Endowments & Annuities Funds

INFORMATION TECHNOLOGY RECORDS**Computer and Information Security**

- GU118 Access and Security Policies and Security Documentation
- GU119 Computer Security Incidents
- GU120 Computer System Review
- GU121 Computer Usage
- GU122 Disaster Preparedness & Recovery Planning
- GU123 Internet Service Logs (External)
- GU124 Network Usage (Internal)
- GU125 System Backup
- GU126 System Users Access Records
- GU127 Audit Trail
- GU128 Automated Off-Line Storage System
- GU129 Destruction of Files Reports
- GU130 Off-Line Control Records
- GU131 Operating System & Hardware Conversion Planning
- GU132 Summary Usage Reports

Data Administration

- GU133 Data / Database Dictionary
- GU134 Indexes / Tracking Systems
- GU135 System Validation

IT General Systems and Applications Development

- GU136 Application Development Project
- GU137 Application System Operations
- GU138 Metadata Documentation
- GU139 Quality Assurance
- GU140 Source Code

INFORMATION TECHNOLOGY RECORDS (Continued)**IT General Systems and Applications Development (Continued)**

- GU141 Technical Program Documentation
- GU142 Network Implementation Project
- GU143 Network / Circuit Installation and Service
- GU144 Network Circuit Inventories
- GU145 Network / Site Equipment Support
- GU146 Help Desk Logs & Reports
- GU147 Site / Equipment & Software Support

LIBRARY RECORDS

- GU148 Accession Records (Integrated Library System ILS)
- GU149 Acquisitions (ILS)
- GU150 Approval Plan (ILS)
- GU151 Binding Invoices
- GU152 Binding Patterns
- GU153 Book, Microfilm and Periodical Invoices (ILS)
- GU154 Cancelled Periodicals (ILS)
- GU155 Carrel Assignments
- GU156 Check-in for Government Documents
- GU157 Check-in for Periodicals and Microfilm Copies (ILS)
- GU158 Discontinued Periodicals (ILS)
- GU159 Federal Depository Account
- GU160 Integrated Library System (ILS) (Electronic)
- GU161 Interlibrary Loan System
- GU162 Library Donor
- GU163 License Agreements
- GU164 Mail Services
- GU165 Microforms Shelf List (ILS)
- GU166 OCLC (Online Computer Library Center)
- GU167 Publisher's Catalogs
- GU168 Reserves (ILS)
- GU169 Search File (ILS)
- GU170 SOLINET

LIBRARY RECORDS (Continued)

- GU171 Standing Orders (ILS)
- GU172 Statistical Reports
- GU173 Withdrawn Publications (ILS)

PERSONNEL RECORDS

- GU174 Alcohol and Drug Abuse Program
- GU175 Affirmative Action and Equal Opportunity (EEO)
- GU176 Aggregate Service History
- GU177 Applications for Employment
- GU178 Conflict of Interest
- GU179 Death Claims
- GU180 Disability Salary Continuation Claim
- GU181 Disciplinary Action
- GU182 Dual Employment
- GU183 Educational Leave and Reimbursement
- GU184 Employee Assistance Programs
- GU185 Employee Surveys
- GU186 Family Medical Leave Act (FMLA)
- GU187 Garnishments
- GU188 Grievances
- GU189 Insurance Enrollment
- ***** Internships / Assistantships / Fellowships (see GU29)
- GU190 I-9 Forms
- GU191 Leave
- GU192 Medical Records (Employee)
- GU193 Performance Evaluation & Management
- GU194 Personnel File (Active) – EPA
- GU195 Personnel File I (Inactive) – EPA
- GU196 Personnel File (EPA) One Time Payments
- GU197 Personnel File (Active) – SPA
- GU198 Personnel File (Inactive) – SPA
- GU199 Position Classifications
- GU200 Reappointment, Promotion and Tenure
- GU201 Reduction-in-Force
- GU202 Retirement Benefits
- GU203 Search Committees

<p>PERSONNEL RECORDS (Continued) GU204 Secondary Employment GU205 Student Assistants / Work Study Students GU206 Time Sheets GU207 Training Programs GU208 Voluntary Shared Leave ***** Workers' Compensation (see GU49)</p> <p>SAFETY RECORDS GU209 Employee Medical GU210 Fire, Health and Environmental Safety GU211 Material Safety Data Sheets GU212 Occupational Safety and Health Administration (OSHA) GU213 Restricted Use Pesticide</p> <p>STUDENT – ACADEMIC GU214 Academic Action Authorization GU215 Academic Records Reports GU216 Academic Student Advising GU217 Applications for Graduation GU218 Certifications / Licenses GU219 Class Lists GU220 Commencement GU221 Comprehensive Examination Results GU222 Course Catalog GU223 Course Evaluations by Students GU224 Credit by Examination GU225 Degree Audit Authorization GU226 Degree Listing GU227 Drop / Add Forms GU228 Examinations, Tests, Term Papers and Homework Records GU229 Extra Hour Registration GU230 Family Educational Rights and Privacy Act Compliance (FERPA) GU231 Fee Assessment Forms GU232 Grade Change Appeal and Authorization Forms GU233 Grade Listings / Grade Sheets</p>	<p>STUDENT – ACADEMIC (Continued) GU234 Graduate Student Records (Departmental File) GU235 International Student Documents GU236 Name Changes GU237 Pass / Fail Forms GU238 Program Progression Appeals GU239 Repeat Course GU240 Student Information System (database) GU241 Student Teaching Certification GU242 Theses and Dissertations GU243 Transcripts GU244 Transcript Requests (Student) GU245 Transfer Equivalents GU246 Undergraduate Student Records (Departmental File) GU247 Withdrawals from University</p> <p>STUDENT – ADMISSIONS GU248 Advanced Placement GU249 Applications for Admission (Graduate) GU250 Applications for Admission (Undergraduate) GU251 Entrance Examination Reports / Test Scores GU252 Residency Classification Forms GU253 Student Waivers for Rights of Access to Letters of Recommendation</p> <p>STUDENT – ATHLETICS GU254 Academic Counseling GU255 Athletic Drug Testing GU256 Athletic Eligibility GU257 Athletic Injury and Treatment GU258 Athletic Programs GU259 Athletic Scholarships GU260 Athletic Team Travel Itinerary GU261 Coaches' Records GU262 Drug Dispensing GU263 Films / Videotapes GU264 Game Contracts</p>	<p>STUDENT – ATHLETICS GU265 Player Recruitment GU266 Receipts from Income GU267 Season Ticket Records GU268 Sports Information GU269 Ticket Sales</p> <p>STUDENT – FINANCIAL AID GU270 Financial Aid Administrative GU271 Financial Aid Fiscal GU272 Financial Aid Recipients GU273 Financial Aid Reports GU274 Loan Administration GU275 Scholarship Administration GU276 Scholarship Applications (Awarded) GU277 Scholarship Applications (Awarded, Not Accepted or Rejected) GU278 Scholarship / Loan Reference GU279 Veterans' Benefits</p> <p>STUDENT HEALTH SERVICES / COUNSELING SERVICES GU280 Controlled Drug administrative GU281 Controlled Drug Audit forms GU282 Controlled Drug Dispensing Records GU283 Immunization Incomplete Log GU284 Laboratory Results Logs GU285 Insurance Claims Benefits and Payment Log GU286 Medical Histories and Immunization Reports GU287 Patient Appointment Book GU288 Performance Improvement Surveys and Reviews GU289 Radiology Jackets GU290 Student Immunizations GU291 Student Medical Records (Active) GU292 Student Medical Records (Inactive) GU293 Student Mental Health Records (Active)</p>
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<p>STUDENT HEALTH SERVICES / COUNSELING SERVICES (Continued)</p> <p>GU294 Student Mental Health Records (Inactive)</p> <p>GU295 Substance Abuse Program Administration</p> <p>STUDENT HOUSING</p> <p>GU296 Housing Appeals</p> <p>GU297 Housing Security Reports</p> <p>GU298 Student Key Receipt</p> <p>GU299 Student Guest Sign-in Logs</p> <p>GU300 Student Housing Contracts</p> <p>GU301 Student Housing Appliance Rental Contracts</p> <p>GU302 Student Housing Applications</p> <p>GU303 Student Housing Disciplinary Actions</p> <p>GU304 Student Housing Damages</p> <p>GU305 Summer School Housing</p> <p>STUDENT LIFE</p> <p>GU306 Career Planning / Placement Records</p> <p>GU307 Commuter Student Information</p> <p>GU308 Disciplinary Records (Academic)</p> <p>GU309 Disciplinary Records (Non-Academic)</p> <p>GU310 Excused Absences</p> <p>GU311 Fraternities and Sororities</p> <p>GU312 Honor Board</p> <p>GU313 Honor Code Violations</p> <p>GU314 Intramural Sports</p> <p>GU315 Non-Traditional Students Information</p> <p>GU316 Student Counseling</p> <p>GU317 Student Accident Reports</p> <p>GU318 Student Associations and Organizations</p> <p>GU319 Student Awards and Honors</p> <p>GU320 Student Government Association</p> <p>GU321 Student Legal Services</p> <p>GU322 Student Legal Services Cases</p> <p>GU323 Services to Students with Disabilities</p>	<p>UNIVERSITY POLICE / PUBLIC SAFETY</p> <p>GU324 Alarm Monitoring Reports</p> <p>GU325 Bans / Trespass Warnings</p> <p>GU326 Building and Grounds Security Checks</p> <p>GU327 Duty Assignment</p> <p>GU328 Case Records</p> <p>GU329 Communications / Dispatch</p> <p>GU330 Confiscated Property</p> <p>GU331 Controlled Substance Seizure</p> <p>GU332 Evidence Tracking</p> <p>GU333 Liability Waiver</p> <p>GU334 Lost and Found Log</p> <p>GU335 Parking Tickets</p> <p>GU336 Police Incident Report</p> <p>GU337 Security / Surveillance / Mobile Video Recordings</p> <p>GU338 Traffic Accident Reports</p> <p>GU339 Towed Vehicle Reports</p> <p>GU340 Traffic Citations</p> <p>GU341 Traffic Stop Reports</p> <p>GU342 Vehicle Registration</p> <p>↻End of list↻</p> <p>* * * * * Indicates duplicate listing</p>	
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UNC General Records Retention and Disposition Schedule

This Schedule applies to records in all media, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of the University Archives for appraisal and final disposition.

Destruction – takes place in the office. Any record with confidential or sensitive information shall be properly destroyed by shredding or by means to ensure that the records cannot be physically recreated.

Original and Reference Copy – original copy (also known as a record copy) is the official authorized copy kept by the office charged with creating or maintaining the record copy. Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access.

No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable.

Refer to prefatory material for additional instructions or contact your university's records officer for clarification.

ADMINISTRATIVE RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU1	Accident Reports	Accidents involving employees and/or equipment. Comply with applicable provisions of G.S. 97-92 (b) and 132.1.1. regarding confidentiality of personnel records.	reports, drawings, incident Reports, OSHA Log	Employee Original: Transfer records resulting in workers' compensation claims to Workers' Compensation (GU49). Destroy in office remaining records in both categories after 6 years. Equipment Original: Destroy in office after 3 years. Reference: Destroy in office when reference value ends.
GU2	Accreditation <i>(See also: Self Studies)</i>	Departmental, college, program and/or Southern Association of Colleges and/or Schools (SACS) accreditation.	correspondence, reports, questionnaires, guides	Original: Transfer 1 copy of final report to the University Archives after process ends. Destroy in office remaining records when administrative value ends. Reference: Destroy in office when reference value ends.

GU3	Activities and Events (See also: <i>Conferences and Workshops</i>)	Activities and events that are initiated or sponsored by the University.	bulletins, memorandums, circulars, invitations, announcements, press releases, photographs	Original: Transfer to University Archives after 3 years. Reference: Destroy in office when event is completed.
GU4	Administrative	Administrative and official operations of an individual office.	reports, memorandums, correspondence, directives	Original: Transfer to University Archives after 5 years. Reference: Destroy in office when reference value ends.
GU5	Administrative Reference	Convenience and reference records of transitory value.	Subject / reference file, memorandums, duplicates, announcements	Destroy in office when reference value ends.
GU6	Agreements, Contracts, and Leases	With consultants, vendors and other firms concerning services, equipment and obligations.	correspondence, memorandums	Original: Destroy in office 5 years after expiration of all rights and obligations. For sealed agreements, destroy in office 10 years after expiration of all rights and obligations. Reference: Destroy in office when reference value ends.
GU7	Americans with Disabilities Act (ADA) Compliance	Efforts to comply with the Americans with Disabilities Act (42 U.S.C. 12101 et seq.).	reports, correspondence, regulations, complaints	Destroy in office after 5 years, if no litigation, claim, audit or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.
GU8	Annual Reports	Report of work completed by office, unit, department, division, college/school each year.		Original: Transfer 1 copy to University Archives when completed; maintain 1 copy in office permanently. Reference: Destroy in office when reference value ends.
GU09	Audit Reports	Reports generated by the Internal Auditor.	reports, working papers, correspondence	Original: Transfer audit report to University Archives after 10 years for appraisal and final disposition. Destroy working papers after 3 years. Reference: Destroy in office after 3 years.

GU10	Awards and Honors	Faculty, staff, student and alumni awards not associated with grants. Comply with applicable provisions of G.S. 126 and Family Educational Rights and Privacy Act (FERPA), 20 U.S.C. 1232g regarding confidentiality of records.	applications, nominations, criteria, transcripts, vitae, press releases, funding data	Original: Transfer notification of award to appropriate personnel or student file. Transfer list of award recipients upon publication to the University Archives. Transfer remaining records to the University Archives after 5 years. Reference: Destroy in office when reference value ends.
GU11	Biographical	Biographical information for faculty and staff.	vitae, clippings, photographs, speeches	Transfer to University Archives 1 year after separation.
GU12	Board of Trustees	Records of the governing body of the university and its committees.	minutes, correspondence, announcements, policies, oaths of office, briefing book, biographical data	Original: Transfer Board of Trustees minutes to University Archives upon approval. Transfer remaining records to University Archives after 5 years. Reference: Destroy in office when reference value ends.
GU13	Building Use	Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	correspondence, floor plans, room numbering scheme	Destroy in office when superseded or obsolete.
GU14	Calendar of Events	Used for keeping track of activities and events.		Original: Transfer to University Archives when published. Reference: Destroy in office when reference value ends.
GU15	Committees, Councils, Task Forces	Official university committees, councils or task forces appointed, elected or ad hoc.	correspondence, minutes, notifications of meetings, agendas, reports, briefing materials, working papers	Original: Transfer to University Archives at end of academic year or at expiration of group. Reference: Destroy in office when reference value ends.
GU16	Complaints	Complaints concerning services.	correspondence	Destroy in office after 2 years.
GU17	Conferences, Training Programs and Workshops – Attended <i>(See also: Training Programs in Personnel Section)</i>	<i>See Series Title</i>	agendas, handouts, training materials, travel	Destroy in office when reference value ends.

GU18	Conferences, Training Programs and Workshops – Conducted <i>(See also: Training Programs in Personnel Section)</i>	University initiated or sponsored conferences, programs, or workshops.	correspondence, agendas, handouts, training materials, critiques, reports, contracts, registration	Original: Transfer to University Archives after 5 years. Reference: Destroy in office when reference value ends.
GU19	Copyright Records	Records related to preparation, filing, maintenance, and rights.	applications, registration, notices, correspondence	Transfer to University Archives when copyright expires or is not renewed.
GU20	Emergency Management	Disaster preparedness and response.	policies, procedures, incident reports.	Destroy in office when superseded or obsolete.
GU21	Energy Conservation	Measures undertaken by university to conserve energy.	inspection reports, correspondence, plans	Destroy in office after 5 years.
GU22	Equipment Maintenance and Repair	Routine maintenance or repair work done to equipment.	correspondence, work orders, contracts, service logs	Destroy in office 2 years after completion of service.
GU23	Facility Security	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of building plans and specifications.	surveillance videos, incident reports, procedures, keys, building plans	Original: Destroy in office when superseded or obsolete. Reference: Destroy in office when reference value ends.
GU24	Faculty Governance	Records of the faculty senate or council and its committees.	minutes, correspondence, reports, faculty code	Original: Transfer Faculty Governance Minutes to University Archives upon approval. Transfer remaining records to University Archives after 5 years. Reference: Destroy in office when reference value ends.
GU25	Films / Videotapes <i>(See also: Historical File)</i>	Produced by and for the university including sporting events, interviews and other related activities.	film, videotapes, audiotapes, dvd, cd-rom	Original: Transfer to University Archives after 10 years. Reference: Destroy in office when reference value ends.
GU26	Grants, Awarded	<i>See Series Title</i>	proposal, application, notice of award, accounting records, progress reports, patents, audit findings, contracts, research data	Original: Follow records retention requirements for grant. Transfer final reports to University Archives 3 years after completion and clearance from all audits. Reference: Destroy in office when reference value ends.

GU27	Grants, Proposals	<i>See Series Title</i>		Original: Transfer successful grant proposals to Grants Awarded. Destroy in office rejected proposals when reference value ends. Reference: Destroy in office when reference value ends.
GU28	Historical Memorabilia <i>(See also: Film/Videotape)</i>	Items that mark significant events or times for the unit.	plaques, scrapbooks, press releases, clippings, newsletters, photographs	Transfer to University Archives after 5 years.
GU29	Internships / Assistantships / Fellowships	Student internships and assistantships within department. Comply with applicable provisions of 20 U.S.C. 1232g regarding confidentiality of records.	applications, approvals, credit earned, accounting records, correspondence, award notifications, eligibility criteria, guidelines	Original: Transfer information regarding individuals to Registrar's Office and fiscal information to Business Affairs (if applicable) at end of each grading period. Destroy in office remaining records after 5 years. Reference: Destroy in office when administrative value ends.
GU30	Mailing Lists	<i>See Series Title</i>		Destroy in office when superseded or obsolete.
GU31	News Releases and Public Relations	Information used to promote the university and university activities.	photographs, press kits, press releases	Original: Transfer to University Archives after 5 years. Reference: Destroy in office when reference value ends.
GU32	Patent Records	Records related to preparation, filing, maintenance, and rights.	patents, applications, notice of award, correspondence	Transfer to University Archives when patent expires.
GU33	Planning	Planning activities of the university, divisions, departments, and units.	correspondence, reports, statistics	Original: Transfer to University Archives after 5 years. Reference: Destroy in office when reference value ends.
GU34	Self Study <i>(See also: Accreditation)</i>	Study of departmental goals and performance over time, academic program reviews.	reports, correspondence	Original: Transfer to University Archives after study ends. Reference: Destroy in office when reference value ends.
GU35	Speeches	Speeches made by the Chancellor, Provost, and Senior staff for significant events such as Commencement, Convocation, and Installation of Chancellor.	transcripts, tapes, videos	Original: Transfer to University Archives after 5 years. Reference: Destroy in office when reference value ends.

GU36	Staff Organizations	<i>See Series Title</i>	minutes, correspondence, reports, newsletters	Original: Transfer to University Archives after 5 years. Reference: Destroy in office when reference value ends.
GU37	Student Surveys	Completed student surveys.	summary reports, conclusions	Transfer results and conclusions to University Archives after 5 years. Destroy in office surveys and working papers when administrative value ends.
GU38	Supplies and Equipment	<i>See Series Title</i>	warranties, manuals, accounting records, inventories	Destroy in office inventories when superseded. Dispose of warranties and operating manuals in accordance with Property Office procedures. Destroy in office accounting records after disposition of equipment.
GU39	Surplus Property	<i>See Series Title</i>	inventories, disposal logs	Destroy in office 3 years after property disposal.
GU40	Trademark Records	Records related to preparation, filing, maintenance, and rights.	applications, registration, notices, correspondence	Transfer to University Archives when trademark expires or is not renewed.
GU41	Travel Requests and Reimbursements	Comply with applicable provisions of 5 U.S.C. 552a regarding confidentiality of social security numbers.	authorizations, receipts, correspondence	Original: Destroy in office after 5 closed fiscal years and when released from all audits. Reference: Destroy in office after 2 closed fiscal years.
GU42	University Code	University standards for professionalism, ethics and operations.		Original: Transfer to University Archives when superseded and revised. Reference: Destroy in office when superseded or obsolete.
GU43	Vehicle Titles	<i>See Series Title</i>		Dispose of in accordance with instructions by State Surplus Property Office / Motor Fleet Office upon disposition of vehicle.
GU44	Vehicle Operations and Maintenance	Records involved with the use and maintenance of University owned vehicles.	request forms, vehicle inspection reports, vehicle accident reports, mileage logs, maintenance schedules	Destroy in office request forms and mileage logs after 3 years. Destroy in office remaining records upon disposition of vehicle.
GU45	Vendors Information	Marketing information from vendors.	catalogs, brochures, price lists	Destroy in office when administrative value ends.
GU46	Visitor Registration Logs	<i>See Series Title</i>	visitor log	Destroy in office after 1 year.

GU47	Work Orders	Requests for services or repairs.	work orders, service tickets correspondence, estimates,	Destroy in office 1 year after completion of work.
GU48	Work Schedules	Variable, flexible and shift work schedules used to calculate overtime and compensatory time.		Original: Destroy in office when administrative value ends. Reference: Destroy in office when reference value ends.
GU49	Workers' Compensation	Comply with applicable provisions of G.S. 8-53, G.S. 97-72 (b), G.S. 126-7, 333 NC 258 and 425 SE 2d 698 (1993) regarding confidentiality of records.	employer's report of injury (form 19), accident investigation reports, progress reports, medical reports, copies of medical invoices, return to work instructions, legal opinions and briefs, court documents, transcripts, affidavits, photographs, correspondence, findings, recommendations	Transfer official copy of claim records to the Industrial Commission in compliance with GS 97-92(a) and in accordance with Office of State Personnel procedures. Retain in office records concerning claims filed for injuries which occurred prior to July 6, 1994, permanently. Retain in office records concerning claims filed for injuries which occurred on or after July 6, 1994, where the Industrial Commission form "Employee's Claim for Additional Compensation Pursuant to G.S. 97-25.1" (Form 18M) has been filed, permanently. Destroy in office remaining records after 5 years, in accordance with G.S. 97-24(c).

 End of Administrative Records Section 

UNC General Records Retention and Disposition Schedule

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Destruction – takes place in the office. Any record with confidential or sensitive information shall be properly destroyed by shredding or by means to ensure that the records cannot be physically recreated.

Original and Reference Copy – original copy (also known as a record copy) is the official authorized copy kept by the office charged with creating or maintaining the record copy. Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access.

No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable.

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FACILITIES SERVICES RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU50	Blueprints, Plans and Drawings	Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	drawings, blueprints, floor plans, surveys, property maps, renovation plans, building plans	Original: Transfer to University Archives when administrative value ends. Reference: Destroy in office when reference value ends.
GU51	Building Maintenance, Housekeeping	Day to day housekeeping and maintenance.	correspondence, work schedules, maintenance log	Original: Destroy in office after 1 year after work completed. Reference: Destroy in office when reference value ends.
GU52	Capital Improvement Proposals	Proposals submitted by architects for new university building projects. Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	correspondence, architectural drawings, cost estimates, procedures, specifications, bids	Transfer files concerning the successful bidder to the appropriate Capital Improvement File after the contract is awarded. Destroy in office files pertaining to unsuccessful project proposals 2 years after contract has been awarded.

GU53	Capital Improvements	Building projects on campus, including new buildings, renovations and additions. Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	accepted architect's proposal, change orders, reference copies of financial accounts, correspondence, bid tabulation sheet, progress reports, architects' and engineers' pay applications, budget reports	Original: Transfer to University Archives 5 years after completion of project. Reference: Destroy in office upon completion of project.
GU54	Insurance	Insurance and liability coverage for university property and agents of the university.	correspondence, insurance policies, verifications of cover, claims, accounting records, torts	Destroy in office policies and other records 6 years after termination of policy.
GU55	Non-Capital Improvements	Repair and renovations to existing facilities. Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.	correspondence, memorandums, names of architects and engineers, costs, materials involved	Destroy in office 5 years after completion or termination of project.

End of Facilities Services Records Section

UNC General Records Retention and Disposition Schedule

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Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of the University Archives for appraisal and final disposition.

Destruction – takes place in the office. Any record with confidential or sensitive information shall be properly destroyed by shredding or by means to ensure that the records cannot be physically recreated.

Original and Reference Copy – original copy (also known as a record copy) is the official authorized copy kept by the office charged with creating or maintaining the record copy. Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access.

No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable.

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FINANCIAL RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU56	1099 File	Services performed for the university by non-employees. Comply with applicable provisions of G.S. 126 and 5 U.S.C. 552a regarding confidentiality of records.	honorariums, contractual service, withholding tax	Destroy in office 1 year after payment date and when released from all audits.
GU57	Accounts Payable	Status of accounts in which the state owes money to firms or individuals.		Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 year.
GU58	Accounts Receivable	Status of accounts receivable, excluding student accounts.		Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 year.
GU59	Accounts Uncollectible	Status of accounts in which money cannot be collected.	bad checks	Destroy in office 3 closed fiscal years after account is paid, collected or is determined to be uncollectible, and when released from all audits.

GU60	Annual Financial Statement Report	<i>See Series Title</i>		Original: Retain 1 copy in Comptroller's Office permanently. Transfer 1 copy to University Archives upon publication. Reference: Destroy in office when reference value ends.
***	Audit Reports <i>(See: Audit Reports in Administrative Section)</i>			See GU09
GU61	Bank Statements	For university accounts.	bank statements	Destroy in office after 3 closed fiscal years and when released from all audits.
GU62	Bidder's Applications	Applications submitted by vendors to be included on bidding lists.		Destroy in office after 5 closed fiscal years and when released from all audits.
GU63	Bids	Purchase of equipment, supplies or services. Comply with applicable provisions of G.S. 143-52, G.S. 143-53 and NCAC T01:05B regarding confidentiality of bids.	price quotes, applications, correspondence	Destroy in office unsuccessful bids after 5 closed fiscal years and when released from all audits. Destroy in office successful bids 5 years after expiration and when released from all audits.
GU64	Bond Book	Deposits and withdrawals on bonds held by university.	bond agreement, deposits, withdrawals, statements, reconciliations	Destroy in office audit copies 5 closed fiscal years after bond has been cancelled or has expired. Destroy in office remaining records when bond is cancelled or expires.
GU65	Bonds and Other Borrowing	<i>See Series Title</i>	bond indentures, legal documents, swap agreements, payment schedules, annual audits, arbitrage audits	Destroy in office 1 closed fiscal year after last payment and when released from all audits.
GU66	Budget	University budgetary records.	budget analysis report, transfer request, increase, decrease budget request forms, briefs concerning capital improvements, expansions and maintenance projects, worksheets, resolutions, revisions, correspondence, official budget report	Original: Transfer copy of official budget report annually to University Archives. Destroy in office remaining records after 3 closed fiscal years and when released from all audits. Reference: Destroy in office when reference value ends.
GU67	Cancelled Checks	Paid by the university.		Destroy in office after 7 closed fiscal years and when released from all audits.

GU68	Capital Improvements Accounting	Budget and financial records related to capital improvements.	accounting records, vouchers, checks, purchase orders, other supporting documentation, monthly reports	Destroy in office 3 closed fiscal years after project is completed and when released from all audits.
GU69	Cash Receipts	Listing or analysis of cash received and deposited.	receipt books	Destroy in office after 3 closed fiscal years and when released from all audits.
GU70	Cost Accounting Reports	Completed cost accounting reports for university expenditures.		Destroy in office after 3 closed fiscal years and when released from all audits.
GU71	Credit Card Use	Receipts concerning the use and ownership of credit cards used by university employees. Comply with applicable provisions of G.S.132-1.2 (2) and 5 U.S.C. 552a regarding confidentiality of records.		Destroy in office after 3 closed fiscal years and when released from all audits.
GU72	Deposits	<i>See Series Title</i>	deposit slips, cash register slips, receipts	Destroy in office after 3 closed fiscal years and when released from all audits.
GU73	Direct Deposit Forms	Bank deposit slips submitted by employees for direct deposit of paychecks by university. Comply with applicable provisions of G.S. 132-1.2 (2) and 5 U.S.C. 552a regarding confidentiality of records.		Retain in office until superseded and when released from all audits.
GU74	Disbursing Accounts Statements	Statements received from the Department of the State Treasurer indicating monthly activity, beginning and ending balance, and other related information for each disbursing account.	monthly statements	Destroy in office after 7 closed fiscal years and when released from all audits.
GU75	Escheats Statements	Escheated funds reverting to the State of North Carolina and credited to the State Treasurer.	statements, correspondence	Destroy in office after 7 closed fiscal years.
GU76	Financial Records System (database)	Budget information shared by all university departments used to track revenue and expenditures, and create financial reports.	revenue, expenses, budget data, account amounts, check numbers, check amounts, purchase orders	Destroy in office after 5 closed fiscal years and when released from all audits.
GU77	Fixed Assets	Inventories of fixed assets.		Destroy in office after 5 years and when released from all audits.

GU78	Funding Increments	Records concerning increment increases in an employee's salary. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.		Destroy in office after 7 years.
GU79	Insurance Deductions	Records concerning insurance deductions from each employee's salary. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.		Destroy in office after 7 closed fiscal years and when released from all audits.
GU80	Invoices	<i>See Series Title</i>		Destroy in office after 3 closed fiscal years and when released from all audits.
GU81	Lapsed Salaries	State appropriated funds made available for reallocation through the circumstances of unused salaries. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.		Destroy in office after 3 closed fiscal years and when released from all audits.
GU82	Loans	Records concerning loans, scholarships and business assistance.		Original: Destroy in office audit copies 5 closed fiscal years after repayment or elimination of loan and when released from all audits. Reference: Destroy in office remaining records 1 closed fiscal year after termination or elimination of loan.
GU83	Mail Transmittal Slips	Mail transmittal slips used to account for postage.		Destroy in office after 1 year.
GU84	Monthly Budget Reports	<i>See Series Title</i>		Destroy in office after 2 closed fiscal years.
GU85	Payroll	Salaries paid to permanent and temporary employees. Comply with G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.		Transfer administrative data documenting personnel actions to appropriate individual personnel file when action is approved. Destroy in office remaining records after 7 closed fiscal years and when released from all audits.

GU86	Payroll Deductions	Deductions from salaries of permanent and temporary employees. Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24 regarding confidentiality of records.		Original: Destroy in office 7 closed fiscal years after deduction is terminated and when released from all audits. Reference: Destroy in office remaining records after 1 closed fiscal year.
GU87	Purchase Orders	For supplies and equipment.		Original: Destroy in office after 5 closed fiscal years and when released from all audits. Reference: Destroy in office after 2 closed fiscal years and when administrative value ends.
GU88	Reconciliation Reports	Reports listing all outstanding checks or warrants.		Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 closed fiscal year.
GU89	Requisitions	Requests for orders for equipment or supplies.		Original: Destroy in office after 5 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 year.
GU90	Requisitions for Transfer of Funds	<i>See Series Title</i>		Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office when reference value ends.
GU91	Retirement Reductions	Retirement deductions from employee's salaries. Comply with G.S. 126-22, G.S. 126-23, and G.S. 126-24 regarding confidentiality of records.		Destroy in office after 7 closed fiscal years and when released from all audits.
GU92	Returned Checks	Checks written to the university that have been returned for insufficient funds.		Destroy in office audit copy 1 year after check is paid, collected or is determined uncollectible. Destroy in office remaining records when check is paid, collected or is determined uncollectible.
GU93	Reversion and Continuation of Agency Funds	<i>See Series Title</i>		Original: Destroy in office after 2 closed fiscal years. Reference: Destroy in office remaining records after 1 year.

GU94	Sales Tax	Records concerning the collection of sales and use taxes by the university.		Original: Destroy in office after 5 closed fiscal years and when released from all audits. Reference: Destroy in office remaining records after 1 year.
GU95	Social Security Deductions	Reports listing Social Security deductions from each employee's salary. Comply with applicable provisions of 5 U.S.C. 552a, G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.		Destroy in office after 7 closed fiscal years and when released from all audits.
GU96	Student Accounts <i>(See also: Student Records, Financial Aid Section)</i>	Records concerning individual student accounts.	adjustments of tuition fees, refunds, outstanding fees for damaged or overdue books, records of payments or other credits, statement of charges	Destroy in office records concerning settled accounts when released from all audits. Transfer copy of statement of each unsettled account to Registrar's Office after 1 semester. Destroy in office remaining records when account is settled or designated uncollectible and when released from all audits, whichever occurs later.
GU97	Tax Forms	Completed tax withholding forms for faculty, staff and student employees. Comply with G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.		Destroy in office after 7 closed fiscal years and when released from all audits.
GU98	Telephone Billings	<i>See Series Title</i>		Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 1 year.
GU99	Travel Reimbursements	Comply with applicable provisions of 5 U.S.C. 552a regarding confidentiality of records.	request for reimbursement, authorizations, documentation of payment	Original: Destroy in office after 5 closed fiscal years and when released from all audits. Reference: Destroy in office after 2 closed fiscal years.
GU100	Utility Bills and Logs <i>(Other than Telephone Billings, GU98)</i>	<i>See Series Title</i>		Destroy in office after 1 closed fiscal year and when released from all audits.

GU101	Vouchers	Vouchers and documentation of disbursements.		Original: Destroy in office after 3 closed fiscal years and when released from all audits. Reference: Destroy in office after 2 closed fiscal years.
GU102	WH-1, WH-3 Forms	Records concerning time schedule variance and overtime.		Destroy in office after 3 closed fiscal years and when released from all audits.

End of Financial Records Section

UNC General Records Retention and Disposition Schedule

This Schedule applies to records in all media, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of the University Archives for appraisal and final disposition.

Destruction – takes place in the office. Any record with confidential or sensitive information shall be properly destroyed by shredding or by means to ensure that the records cannot be physically recreated.

Original and Reference Copy – original copy (also known as a record copy) is the official authorized copy kept by the office charged with creating or maintaining the record copy. Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access.

No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable.

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DEVELOPMENT RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU103	Annual Giving	Comply with applicable provisions of G.S. 105-259, G.S. 153A-148.1 and G.S. 160A-208.1 regarding confidentiality of records.	correspondence, reports, financial records, brochures	Destroy in office financial records after 3 closed fiscal years and when released from all audits. Transfer remaining records to University Archives after 5 years.
GU104	Capital Campaign	Comply with applicable provisions of G.S. 105-259, G.S. 153A-148.1 and G.S. 160A-208.1 regarding confidentiality of records.	correspondence, reports, financial records, brochures	Destroy in office financial records 3 closed fiscal years after campaign ends. Transfer remaining records to University Archives after campaign ends.
GU105	Custodian Investment Reports	Reports on investment performance.	monthly reports, investment activities, working papers	Destroy in office when administrative value ends.
GU106	Donors and Prospects	Comply with applicable provisions of state and federal law regarding confidentiality of tax payer information.	correspondence, names, addresses, fund names, fund numbers, biographical data, financial data, scholarship / endowment	Destroy in office when administrative value ends.
GU107	Endowment Agreements	Comply with applicable provisions of agreements regarding confidentiality concerning each gift.	correspondence, agreements, lists	Retain records regarding active endowments in office permanently. Transfer records regarding inactive endowments to University Archives.

GU108	Gifts-in-Kind Reports	Comply with applicable provisions of legal agreement regarding confidentiality concerning each gift.	gifts, fund, date, amount	Destroy in office when administrative value ends.
GU109	Individual Fund Balances	<i>See Series Title</i>	reports, statement of changes	Destroy in office when administrative value ends.
GU110	Investment Management Reports	Monthly, quarterly, and annual reporting of Development money managers on funds invested and held on behalf of Development.		Destroy in office 3 years after publication.
GU111	Legal and Administrative	Establishment, administration and legal matters regarding Development funds.	budgets, deeds, certificates of deposit, contracts, by-laws, articles of incorporation	Transfer to University Archives when administrative value ends.
GU112	Life Income Agreements	Life income of endowment donors. Comply with applicable provisions of G.S. 105-259, G.S. 160A-208.1 regarding confidentiality of records.	legal records, reconciliation reports, annuities, trusts	Retain records regarding active agreements in office permanently. Transfer records regarding inactive agreements to University Archives.
GU113	Major and Planned Gifts	Coordination of gifts and giving policies. Comply with applicable provisions of G.S. 105-259 and G.S. 160A-208.1 regarding confidentiality of records.	correspondence, reports, financial records, acceptance policies, legal opinions	Transfer to University Archives when administrative value ends.
GU114	Property / Real Estate	Owned, sold, swapped, and transferred.	Leases, deeds, construction, insurance, tax evaluations, maps, surveys	Transfer to University Archives when property is disposed of.
GU115	Scholarship / Awards	Creation and distribution of scholarship and awards. Comply with applicable provisions of 20 U.S.C. 1232g, G.S. 105-259, G.S. 153A-148.1, and G.S. 160A-208.1 regarding confidentiality of tax and other records.	correspondence, acknowledgement of gifts, conditions of scholarship, applications, recommendations, names of recipients, accounting records, photographs	Destroy in office financial records after 3 closed fiscal years. Transfer remaining records to University Archives when administrative value ends.
GU116	Tax Return	<i>See Series Title</i>	signed tax returns	Retain signed tax returns in office permanently.
GU117	Trust, Endowments and Annuities Funds	Records concerning the administration of university trust, endowments and annuities.	correspondence, reports, accounting statements	Retain in office permanently.

End of Development Records Section

UNC General Records Retention and Disposition Schedule

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INFORMATION TECHNOLOGY RECORDS

COMPUTER AND INFORMATION SECURITY

Computer and information security series include physical, system, network and information security components and document the “protection of computers from tampering, physical danger, and unwanted disclosure of data.” (*Dictionary of Computer and Internet Terms*. Barron’s, 6th ed., 1998)

Note: Administration, use, and retention of records concerning computer and information security should comply with applicable provisions of G.S. 132-6.1 on the confidentiality of records regarding “hardware or software security, passwords, or security standards, procedures, processes, configurations, software, and codes.” (G.S. 132-6.1 (c))

Series #	Series Title	Series Description	Items	Disposition
GU118	Access, Security Policies and Security Documentation	Comply with applicable provisions of G.S. 132-6.1(c), Health Insurance Portability and Accountability Act (HIPAA), 42 U.S.C. 1320 et seq., regarding confidentiality of computer-related and privacy-related records.	security policies, standards, guidelines, procedures, security plans	Destroy in office 3 years after superseded or obsolete.

GU119	Computer Security Incident	Incidents involving unauthorized attempted entry, probes, and/or attacks on data processing systems, information technology systems, telecommunications networks, and electronic security systems, including associated software and hardware. Comply with applicable provisions of G.S. 132-6.1(c) and HIPAA regarding confidentiality of computer-related and privacy-related records.	reports, logs, extracts and compilations of data	Destroy in office 5 years after incident is resolved.
GU120	Computer System Review	Logs, computer reports and review reports regarding the maintenance and security of the computer system. Comply with applicable provisions of G.S. 132-6.1(c) and HIPAA regarding confidentiality of computer-related and privacy-related records.	firewall logs, system auditing logs, reports, reviews	Destroy in office computer reports and logs when review report is completed. Destroy in office review report and supporting data after 3 years.
GU121	Computer Usage	Monitor computer system usage. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	log-in files, system usage, charge backs, data entry logs, security logs	Destroy in office after completion of applicable review and verification procedures, if no litigation, claim, audit or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.
GU122	Disaster Preparedness and Recovery Planning	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office when superseded or obsolete.
GU123	Internet Service Logs (External)	Monitor access and use of services provided via the Internet. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	website logs, mail server logs, FTP logs, Telnet logs, antivirus/anti-spam mail service logs	Destroy in office after completion of applicable review and verification procedures, if no litigation, claim, audit or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.

GU124	Network Usage (Internal)	Monitor network usage.	log-in files, system usage files, reports, firewall logs	Destroy in office after completion of applicable review and verification procedures, if no litigation, claim, audit or other official action involving the records has been initiated. If official action has been initiated, destroy after completion of action and resolution of issues involved.
GU125	System Backup	Copies of master files or databases, application software, logs, directories needed to restore a system in case of a disaster or inadvertent destruction.		<p>Destroy in office in accordance with your office's established backup plan and procedures – See <i>Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure and Re-Use of Security Backup Files</i>, at http://www.ah.dcr.state.nc.us/records/.</p> <p>Backups used to document transactions or retained for purposes other than system security should be scheduled separately by the responsible program unit. For fiscal systems, monthly system backups are often retained for the entire fiscal year to provide an audit trail and annual requirements in lieu of copies of the individual master files or databases. If these records are covered by specific Federal audit requirements requiring longer records retention, they should be scheduled separately by the appropriate program unit. It is advisable that for many application systems multiple copies of backups be produced during each cycle.</p>
GU126	System Users Access Records	Monitor individual access to a system and its data.	user account records	Destroy in office 1 year after user is withdrawn from system.

COMPUTER OPERATIONS AND TECHNICAL SUPPORT

Computer operation and technical support covers the IT unit functions related to operating systems, maintaining hardware and software, data input services, system backup off-line storage operations, job and production control, monitoring system usage and liaison with hardware and software vendors.

GU127	Audit Trail	Data generated during the creation of a master file or database used to validate the integrity of a master file or database during a processing cycle. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office when administrative value ends.
GU128	Automated Off-Line Storage System	List of backup tapes. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office after related records or media are destroyed or withdrawn from the media library.
GU129	Destruction of Files Reports	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office when superseded or obsolete.
GU130	Off-Line Storage Control Records	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office when superseded or obsolete.
GU131	Operating System and Hardware Conversion Planning	Replacement of equipment or computer operating systems that support the creation of non-permanent records. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office 1 year after completion of conversion.
GU132	Summary Usage Reports	Summary reports documenting computer usage for reporting or cost recovery purposes. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office after 3 years.

DATA ADMINISTRATION

Data administration covers IT unit functions related to data administration support, including the maintenance of data standards, corporate data models and data definitions and dictionaries.

These records are essential for managing electronic records in agency automated information systems and have value as long as the data / electronic records are retained. In some cases, agencies will retain data for extended periods of time, sometimes off-line. In such cases, it is essential that related documentation be retained in an accessible format and that it be listed in a program records retention and disposition schedule.

GU133	Data / Database Dictionary	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	data element definitions, data structures, file layout, reports	Destroy in office 3 years after discontinuance or modification of the related application and after application data has been destroyed or transferred to new structure or format.
GU134	Indexes / Tracking Systems	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	electronic indexes, lists, registers	<p>Destroy in office when related paper or electronic records have been destroyed or transfer in accordance with the disposition of the related paper or electronic records as appropriate.</p> <p>Indexes and tracking systems of program units other than data processing units should be scheduled by the responsible program unit in conjunction with the related program records.</p>
GU135	System Validation	Used to update and/or document a transaction in a database or master file. Comply with applicable provisions of GS 132-6.1(c) regarding confidentiality of computer-related records.	log, update file	Destroy in office when administrative value ends.

IT GENERAL SYSTEMS AND APPLICATIONS DEVELOPMENT

Systems and application development covers the IT unit functions related to the development, redesign, modification, procurement, and testing of systems and applications, as well as to maintaining the documentation generated by these processes.

These records are needed to use electronic records and have value as long as the data/electronic records are retained.

In some cases, universities will retain data for extended periods, sometimes off-line. It is essential that they retain related documentation in an accessible format. This is particularly crucial if the documentation is stored in electronic form or the related records are judged to be archival (have long term and secondary research value beyond the agency) when accompanied by relevant and accurate data documentation. In these cases, any related documentation described by GU135, GU136 and GU137 for an archival series should be listed separately on the university department's program schedule. Application design documentation and user's guides covered by item GU136 may also serve to explain how data was interpreted and used.

GU136	Application Development Project	Development, redesign or modification of an automated system or application. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	project management, status reports, drafts, specifications, correspondence	Transfer to University Archives 5 years after project is completed.
GU137	Application System Operations	User and operational documentation describing how an application system operates. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	flowcharts, program descriptions, documentation, user's guides, specifications	Destroy in office 3 years after discontinuance of all systems, and after all data created by every system instance has been destroyed or migrated to new operating system.
GU138	Metadata Documentation	Metadata concerning the development and/or modification of and the access, retrieval, manipulation and interpretation of data in an automated system. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	data dictionary, file layout, code book	Destroy in office 3 years after discontinuance of system or application, and after system's or application's instance data have been destroyed or migrated to a new structure or format.

GU139	Quality Assurance	Adherence of applications and systems development procedures and products to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations and deadlines. Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	reviews, assessments	Destroy in office 3 years after source code is upgraded or becomes obsolete.
GU140	Source Code	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office 3 years after upgraded or obsolete.
GU141	Technical Program Documentation.	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	program code, program flowcharts, program maintenance log, system change notices	Destroy in office 1 year after program is upgraded or obsolete.

NETWORK / DATA COMMUNICATION SERVICES

Network and Data Communication Services cover IT unit functions related to installing and maintaining networks, diagnosing and coordinating problems on the network, monitoring circuit usage, and liaison with network providers.

GU142	Network Implementation Project	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	reports, justifications, working diagrams, wiring schematics	Destroy in office when superseded or obsolete.
GU143	Network / Circuit Installation and Service	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	work orders, correspondence, work schedules, building / circuit diagrams	Destroy in office 2 years after completion of work.
GU144	Network Circuit Inventories	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	circuit number, vendor, cost per month, type of connection, terminal series, software,	Destroy in office when superseded or obsolete.
GU145	Network / Site Equipment Support	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.	site visit reports, trouble reports, service history, correspondence	Destroy in office service histories and other summary records when superseded or obsolete. Destroy in office remaining records when administrative value ends.

USER / OFFICE AUTOMATION SUPPORT

User/Office Automation Support refers to IT unit functions that provide support to users of a computer application or office automation system, including assisting users to solve software and hardware problems, installing hardware or software, providing training, and providing review and recommendations of software for agency use.

GU146	Help Desk Logs and Reports	Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records.		Destroy in office after 2 years.
GU147	Site / Equipment and Software Support	Support service records. Comply with applicable provisions of GS. 132-6.1(c) regarding confidentiality of computer-related records.	site visit reports, program reports, equipment service reports, service history correspondence	Destroy in office service histories and other summary records when superseded or obsolete. Destroy in office remaining records after 3 years.

End of Information Technology Records Section

UNC General Records Retention and Disposition Schedule

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LIBRARY RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU147	Accession Records (Integrated Library System “ILS”)	Listing of library materials arranged numerically.	accession or inventory number, author and title, call number, source price	Permanent.
GU149	Acquisitions (ILS)	Acquisition of books, periodicals and other material.	purchase orders, shipping information	Retain material concerning rare publications permanently. Destroy in office records concerning routine acquisitions 1 closed fiscal year after released from all audits.
GU150	Approval Plan (ILS)	Records concerning materials received on approval.	correspondence, printouts of amount spent, number of books, LC classification, returns notebook, reason returned, ISBN number, copies of approval plan profile, statistical data	Destroy in office after 2 years.
GU151	Binding Invoices	Invoices for binding periodicals and books.		Destroy in office after 3 years.
GU152	Binding Patterns	Binding specifications.		Destroy in office when superseded or obsolete.

GU153	Book, Microfilm and Periodical Invoices (ILS)	Invoices for payment of books, microfilm and periodicals.	correspondence, invoices	Destroy in office after 3 years.
GU154	Cancelled Periodicals (ILS)	Cancelled subscriptions.		Destroy in office when administrative value ends.
GU155	Carrel Assignments	<i>See Series Title</i>	carrel number, faculty name, graduate name, contract, key number, fee	Destroy in office 6 months after termination of contract.
GU156	Check-in for Government Documents	<i>See Series Title</i>	packing slips, title sudoc number, item number, receipt date, shipping list number	Maintain according to Federal Depository Library Program (FDLP) regulations. Transfer 10 or more copies (as required) of each publication to the State Documents Clearinghouse, State Library of North Carolina, when received from printer, in accordance with G.S. 125-11.8(b).
GU157	Check-in for Periodicals and Microfilm Copies (ILS)	<i>See Series Title</i>		Destroy in office 5 years after termination of subscription.
GU158	Discontinued Periodicals (ILS)	<i>See Series Title</i>		Destroy in office when administrative value ends.
GU159	Federal Depository Account	Deposit account orders and statements.		Destroy in office after 3 years.
GU160	Integrated Library System (ILS) (Electronic)	<i>See Series Title</i>	acquisitions, on-line catalog, circulation data, budget data, orders, purchases, fines, patron information, bibliographic data, shelf list, interlibrary loan data	Purge inactive patron data annually. Purge budget and financial data when administrative value ends. Update remaining electronic data routinely.
GU161	Interlibrary Loan System	Interlibrary loan circulation information. Comply with applicable provisions of US Title 17 regarding copyright of materials.	patron name, material requested, university borrow from / sent to, date requested, date filled	Purge records after 5 years if no copyright violation has been reported. If copyright violation is alleged, destroy after completion of action and resolution of issues involved.
GU162	Library Donor	Records concerning materials donated to the library. Comply with applicable provisions of legal agreement regarding confidentiality of records concerning each gift.	annual donor statistics, donor forms with name, description of donation, number of books, correspondence, accession information, agreements, stipulations	Transfer records to University Archives after 15 years.

GU163	License Agreements	Licenses for databases and electronic journals purchased by the library.		Destroy in office 5 years after expiration of agreement.
GU164	Mail Services	<i>See Series Title</i>	information regarding certified mail, express mail, insurance, commercial carriers, campus requisitions, returned shipments, postage authorizations, theses	Destroy in office after 3 years.
GU165	Microforms Shelf List (ILS)	<i>See Series Title</i>	title, date of publication, catalog number, subject headings	Destroy in office paper copies when entered into library on-line catalog and after verification of data entry. Update routinely, maintain electronic database permanently.
GU166	OCLC (Online Computer Library Center)	Publications concerning cataloging of library materials.		Destroy in office when administrative value ends.
GU167	Publisher's Catalogs	Catalogs listing new publications by each particular publisher.		Destroy in office when superseded or obsolete.
GU168	Reserves (ILS)	Holdings placed on reserve by instructors for student use.	bibliographic information, student use information	Destroy in office after 1 year.
GU169	Search File (ILS)	Search reports for books that are missing.		Transfer reports of missing books to Catalog Department when search process is completed for withdrawal from the ILS. Destroy in office remaining records when administrative value ends.
GU170	SOLINET	Official records concerning library's participation in SOLINET.	correspondence, statistics, newsletters	Transfer to University Archives when administrative value ends.
GU171	Standing Orders (ILS)	<i>See Series Title</i>	spreadsheet inventories, correspondence, credit, memorandums, information regarding book returns, missing shipments	Destroy in office after 3 years and when released from all audits.
GU172	Statistical Reports	Annual statistical report.		Transfer to University Archives after 5 years.
GU173	Withdrawn Publications (ILS)	<i>See Series Title</i>		Purge from ILS after 5 years.

☞ End of Library Records Section ☞

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PERSONNEL RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU174	Alcohol and Drug Abuse Program	Records concerning alcohol and drug abuse rehabilitation program for university employees. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality.		Destroy in office after 3 years.
GU175	Affirmative Action and Equal Opportunity (EEO)	Agency participation in federal and state affirmative action / equal opportunity programs. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality.	correspondence, regulations, guidelines, reports, directives, recruitment plans, equal opportunity statements, full-time and EPA non-faculty actions, faculty employment reviews, procedures	Original: Transfer policies, guidelines, correspondence, affirmative action plans and compliance reviews to University Archives after 5 years. Destroy in office remaining records after 5 years. Reference: Destroy in office after 5 years.
GU176	Aggregate Service History	Complete history of employee's service. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality.	forms, reports, correspondence	Transfer to appropriate individual personnel file when completed.

GU177	Applications for Employment (See also: <i>Search Committees</i>)	Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality.	applications, resumes, vitae, recommendations, correspondence, other related records	Original: Transfer applications and other records for individuals hired to appropriate personnel file when individual accepts position. Destroy in office applications and other records that are not solicited and for individuals not hired 3 years after date of receipt, if no charge of discrimination has been filed. If charge has been filed, destroy 1 year after resolution of charge. Reference: Destroy in office when employment decision is made.
GU178	Conflict of Interest	Possible conflicts of interest between university employees and outside agencies.	forms, correspondence	Original: No conflict – destroy after 3 years. Potential / actual conflict – destroy 6 years after resolution of conflict. Reference: Destroy in office after 3 years.
GU179	Death Claims	Death claims on all retired and active employees. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality.		Destroy in office 5 years after claim is paid.
GU180	Disability Salary Continuation Claim	Claims completed by disabled employees to apply for salary continuation benefits. Comply with G.S. 126-22 regarding confidentiality.	applications for salary continuation, claim forms	Original: Transfer to agency handling disability claim. Reference: Transfer to appropriate individual personnel file.
GU181	Disciplinary Actions	Disciplinary actions brought against university employees for violations of university rules and regulations. Comply with applicable provisions of G.S. 125-22, G.S. 126-22/20, G.S. 126-23, G.S. 126-24 and G.S.132-1.1 regarding confidentiality of records.	correspondence, forms	Original: Destroy in office 5 years after final resolution. Destruction after final resolution may occur earlier if permitted by state law. Reference: Destroy in office when reference value ends.
GU182	Dual Employment (See also: <i>Secondary Employment</i>)	Employees requesting and engaging in dual employment within state government or universities.	correspondence, forms	Destroy in office approved requests and related records 1 year after employee terminates outside employment. Destroy in office disapproved requests and related records after 6 months. Destroy in office remaining records when reference value ends.

GU183	Educational Leave and Reimbursement	Requests for educational leave and tuition reimbursement. Comply with 20 U.S.C. 1232g.		Destroy in office after 3 years.
GU184	Employee Assistance Programs	Programs related to assistance and counseling opportunities. Comply with applicable provisions of G.S. 126-22 / 29, G.S. 132-1.1 regarding confidentiality.	requests for information, referrals, correspondence, forms, releases	Destroy in office after 3 years.
GU185	Employee Surveys	Completed faculty or staff surveys.	summary reports, conclusions	Transfer results and conclusions to University Archives after 5 years. Destroy in office surveys and working papers when administrative value ends.
GU186	Family Medical Leave Act (FMLA)	Leave issued under the Family Medical Leave Act (FMLA), 29 U.S.C. 2601 et seq. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 and medical records G.S. 130A-374 and FMLA regarding confidentiality.		Original: Destroy in office 5 years after date of last activity. Reference: Destroy in office when reference value ends.
GU187	Garnishments	Garnishments of employees' wages. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality.	statements, forms, correspondence	Original: Destroy in office 3 years after termination of deduction. Reference: Destroy in office when reference value ends.
GU188	Grievances	Employee grievances. Comply with applicable provisions of G.S. 126-22/29 and G.S.132-1.1 regarding confidentiality.		Original: Destroy in office 3 years after resolution of grievance. Reference: Destroy in office upon resolution of grievance.
GU189	Insurance Enrollment	Health, life and related insurance plans available to employees. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S 126-24 regarding confidentiality.	applications, medical histories, fee schedules	Destroy in office 2 years after account is closed.
* * * *	Internships / Assistantships / Fellowships <i>(See: Internships / Assistantships / Fellowships in Administrative Section)</i>			(See GU29)

GU190	I-9 Forms	Employment verification. 8 C.F.R. 274a.2(b)(2)(i)		Destroy in office 3 years after date of hire or 3 years after termination of employment whichever is longer.
GU191	Leave	Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.	leave requests, monthly leave reports, yearly leave recapitulations, correspondence, military leave	Original: Destroy in office after 5 years. Reference: Destroy in office when reference value ends.
GU192	Medical Records (Employee) <i>See also: Employee Medical in Safety Section</i>	Records concerning medical and health status of university employees, other than medical records referred to in GU209 (Employee Medical) relating to exposure of hazardous materials. Comply with applicable provisions of HIPAA, G.S. 126-22, G.S. 126-23, G.S. 126-24 and G.S. 130A-374 regarding confidentiality of records.	medical leave permit forms, workers compensation injury reports, treatment reports	Destroy in office 6 years after employee terminates service. For medical records that relate to exposure of hazardous materials refer to GU209.
GU193	Performance Evaluation and Management	Records concerning employees' goals and primary tasks.	work plan, development plan, performance evaluations	Original: Destroy in office after 3 years. Reference: Destroy in office when superseded or obsolete.
GU194	Personnel File (Active) – EPA	All employees exempt from the State Personnel Act. Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	applications, correspondence, resumes, vitae, promotions, demotions, transfers, personnel action forms, salary, termination of employment, social security numbers verification, driver's license	Transfer to Personnel File (Inactive) – EPA (GU195) after separation or termination of service.

GU195	Personnel File (Inactive) – EPA	All employees exempt from the State Personnel Act. Comply with G.S. 126-22, G.S. 126-23, G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	applications, correspondence, resume, vitae, promotions, demotions, transfers, personnel action forms, salary, termination of employment, social security numbers verification, driver's license	Transfer to University Archives 30 years after separation or termination of services.
GU196	Personnel File (EPA) One Time Payments	Employees hired to fulfill temporary, short-term duties. "One-Time Payments (OTPs)" apply to honoraria paid to visiting lecturers and consultants as well as to university staff and students who undertake duties outside and not in conflict with their regular work. Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	personnel action forms, correspondence	Destroy in office 1 year after payment date.
GU197	Personnel File (Active) – SPA	All employees subject to the State Personnel Act. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.	applications, correspondence, resumes, vitae, promotions, demotions, transfers, suspensions, disciplinary actions, personnel action forms, salary, termination of employment, social security verification, drivers license	Transfer to Personnel File (Inactive) – SPA (GU198) after separation or termination of service.

GU198	Personnel File (Inactive) – SPA	All employees subject to the State Personnel Act. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.	applications, correspondence, resumes, vitae, promotions, demotions, transfers, suspensions, disciplinary actions, personnel action forms, salary, termination of employment, social security verification, drivers license	Destroy in office 30 years after separation or termination.
GU199	Position Classifications	Position classifications approved by the Office of State Personnel.	position classification forms, lists of titles and position numbers, correspondence	Destroy in office when administrative value ends.
GU200	Reappointment, Promotion and Tenure	Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	correspondence, recommendations, reports, articles, curriculum, vitae, resume, list of publications, evaluations, research activities	Original: Transfer records concerning award of reappointment, promotion or tenure to individual's Personnel File (Active) – EPA when granted. Destroy in office remaining records after 2 years. Reference: Destroy in office when reappointment, promotion or tenure decision is made.
GU201	Reduction-in-Force	Compilation of data regarding reduction-in-force situations. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of records.	reports, forms, correspondence, list of employees	Transfer forms and correspondence to official personnel file 1 year after employee terminates service. Destroy in office remaining records when administrative value ends.
GU202	Retirement Benefits	Retirement beneficiaries for death benefits, personal data of employees who plan to retire or have retired, descriptive information about retirement system and other related topics. Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality.		Transfer forms concerning beneficiaries to the Department of State Treasurer, Retirement Systems Division or other retirement plan, when received. Destroy in office remaining records when reference value ends.

GU203	Search Committees	Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	correspondence, resumes, applications, forms, interview notes, policies, reports, charge, roster	Original: Transfer application materials of successful candidates immediately after official offer of employment is accepted to Personnel file. Destroy in office application materials of unsuccessful candidates 3 years after date position is filled if no charge of discrimination has been filed. If charge has been filed, destroy 1 year after resolution of charge. Reference: Destroy in office upon completion of committee's charge.
GU204	Secondary Employment <i>(See also: Dual Employment)</i>	Employees' requests regarding engaging in secondary non-state employment.		Destroy in office approved requests and related records 1 year after employee terminates outside employment. Destroy in office disapproved requests and related records after 6 months. Destroy in office remaining records when reference value ends.
GU205	Student Assistants / Work-Study Students	Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, G.S. 126-29 and G.S. 132-1.1 regarding confidentiality of records.	time sheets, correspondence, schedules, evaluations, job descriptions, payroll	Destroy in office 5 years after student terminates employment.
GU206	Time Sheets	<i>See Series Title</i>		Destroy in office after 5 years and when posted to applicable retirement plan.
GU207	Training Programs <i>(See also: Conferences, Training Programs and Workshops – Attended in Administrative Section)</i>	Certification of completion of a training program.	Registration forms, certificates	Original: Transfer certification of completion to individual's personnel file. Destroy in office remaining records when administrative value ends. Reference: Destroy in office when administrative value ends.
GU208	Voluntary Shared Leave	Participation in the voluntary shared leave program.	applications, forms, leave reports, correspondence, requests	Destroy in office after 5 years.
****	Workers' Compensation <i>(See: Workers' Compensation in Administrative Section)</i>			See GU49

 End of Personnel Records Section 

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SAFETY RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU209	Employee Medical <i>See also: GS192 Medical Records (Employee)</i>	Related to exposure to hazardous materials. Comply with 29 C.F.R. 1910.1020 and other applicable regulations of the NC Department of Labor and the US Occupational Safety and Health Administration. Comply with applicable provisions of HIPAA, G.S. 126-22, G.S. 126-23, G.S. 126-24 and G.S. 130A-374 regarding confidentiality of records.	examination results, test results	Destroy in office medical records related to exposure to hazardous materials 30 years after separation or termination of service. For all other employee medical records refer to GU192.
GU210	Fire, Health and Environmental Safety	<i>See Series Title</i>	correspondence, safety audits, inspection reports	Original: Destroy in office correspondence and safety audits after 3 years. Destroy in office inspection reports after 7 years. Destroy in office remaining records when administrative value ends. Reference: Destroy in office when reference value ends.

GU211	Material Safety Data Sheets	Safety information for hazardous materials. Comply with applicable regulations of 29 C.F.R. 1910.1200.		Destroy in office one year after termination of use of product provided a chemical inventory record as described in 29 C.F.R. 1910.1020(d)(1)(ii)(B) is retained for at least 30 years, otherwise retain material safety data sheet for 30 years.
GU212	Occupational Safety and Health Administration (OSHA)	<i>See Series Title</i>	policies, procedures	Destroy in office when superseded or obsolete.
GU213	Restricted Use Pesticide	Comply with North Carolina Pesticide Law.	reports, correspondence	Destroy in office after 3 years.

 *End of Safety Records Section* 

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STUDENT – ACADEMIC RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU214	Academic Action Authorization	Authorization to change student database.	forms, correspondence	Destroy in office 5 years after graduation or separation.
GU215	Academic Records Reports	Comply with 20 U.S.C. 1232g .	athletic eligibility, enrollment, grade distribution, international students, incompletes, failures, degree statistics, race, ethnicity, schedule of classes, student ranking, retention	Original: Data retained in Registrar's Office permanently. Destroy in office reports when administrative value ends. Reference: Destroy in office when reference value ends.
GU216	Academic Student Advising	Comply with 20 U.S.C. 1232g.	advisors' notes and reports, copies of transcripts, official graduation audits, comprehensive exam results, correspondence, recommendation letters	Destroy in office 5 years after graduation or separation.
GU217	Applications for Graduation	Completed student applications to graduate. Comply with 20 U.S.C.1232g.		Destroy in office 1 year after graduation or separation.

GU218	Certifications / Licenses	Documents supporting application for professional certificates or licenses. Comply with 20 U.S.C. 1232g.	applications, registration, evidence of completion of practicum, transcripts, narrative evaluation of practicum, completion of hours for certification, recommendations, evaluations	Original: Destroy in office 5 years after graduation or separation. Reference: Destroy in office when reference value ends.
GU219	Class Lists	Lists of students enrolled in courses taught. Comply with 20 U.S.C.1232g.	name, social security number or student ID number, term, enrollment status	Original: Permanent in Registrar's Office. Reference: Destroy in office at end of semester or when administrative value ends.
GU220	Commencement	<i>See Series Title</i>	programs, attendance forms, planning records, correspondence	Transfer to University Archives after 1 year.
GU221	Comprehensive Examination Results <i>(See also: Credit by Examination Examinations, Tests, Term Papers and Homework Records)</i>	Comply with 20 U.S.C. 1232g.		Original: Permanent in Registrar's Office. Reference: Destroy in office 1 year after verification from Registrar's Office.
GU222	Course Catalog	Catalog describing courses offered by the university listing program and degree requirements.		Original: Transfer 2 copies to University Archives when published. Retain 1 copy in Registrar's Office permanently. Transfer 10 or more copies (as required) of each publication to the State Documents Clearinghouse, State Library of North Carolina, when received from printer, in accordance with GS 125-11.8(b). Reference: Destroy in office when superseded or obsolete.
GU223	Course Evaluations by Students	Course evaluations completed by students.		Destroy in office when administrative value ends.

GU224	Credit by Examination (See also: <i>Comprehensive Examination Results</i> <i>Examinations, Tests, Term Papers and Homework Records</i>)	Academic credits awarded to students by special examination. Comply with 20 U.S.C. 1232g.	examination results, transcripts	Original: Retain in Registrar's Office permanently. Reference: Transfer to Registrar's Office to be incorporated into official academic file.
GU225	Degree Audit Authorization	Comply with 20 U.S.C. 1232g.	list of courses taken, number of credits needed to graduate, clearance notes, advisor error documentation	Original: Destroy in office 5 years after graduation or separation. Reference: Destroy in office when superseded or obsolete.
GU226	Degree Listing	Listings of departmental students scheduled to receive degrees at end of semester. Comply with 20 U.S.C. 1232g.		Destroy in office when administrative value ends.
GU227	Drop / Add Forms	Comply with 20 U.S.C. 1232g.		Original: Destroy in office 1 year after date submitted. Reference: Destroy in office when reference value ends.
GU228	Examinations, Tests, Term Papers and Homework Records (See also: <i>Comprehensive Examination Results</i> <i>Credit by Examination</i>)	Completed student examinations, etc. not returned to student. Comply with 20 U.S.C. 1232g and University Code of Conduct.	examinations, tests, term paper, homework	Destroy in office 1 year after completion of course for uncontested grade results. If challenged, destroy after resolution of challenge.
GU229	Extra Hour Registration	Requests by students to register for extra hours. Comply with 20 U.S.C. 1232g.	requests, authorizations	Destroy in office 1 year after date submitted.
GU230	Family Educational Rights and Privacy Act Compliance (FERPA)	Comply with 20 U.S.C. 1232g.	requests for formal hearings, requests for release of information, written decisions of hearing panel, waivers for rights of access, correspondence	Permanent.

GU231	Fee Assessment Forms	<i>See Series Title</i>		Destroy in office 5 years after graduation or separation.
GU232	Grade Change Appeal and Authorization Forms	Used by students and faculty to appeal and change course grades. Comply with 20 U.S.C. 1232g.	forms, correspondence	Original: Retain in Registrar's Office permanently. Destroy in office remaining records after 5 years. Reference: Destroy in office upon verification from Registrar's Office.
GU233	Grade Listings / Grade Sheets	Comply with 20 U.S.C.1232g.	name, course, grade	Retain in Registrar's Office permanently.
GU234	Graduate Student Records (Departmental File)	Comply with 20 U.S.C. 1232g.	correspondence, enrollment forms, grades, practicum, internships	Destroy in office 5 years after graduation or separation.
GU235	International Student Documents	Comply with 20 U.S.C. 1232g, 8 C.F.R. 214.2(f)(6)(iii)(B) 8 C.F.R. 214.3(g), 8C.F.R. 214.3(k) 22 C.F.R. 62.10(h)	1-20 (copy of certificate of eligibility for F-1 visa status) copy of alien registration receipt card, copy of "arrival-departure" record (form I-94), copy of certificate of eligibility for J-1 visa status (DS-2019), statement of financial eligibility, correspondence	Enrolled, destroy in office or return 10 years after graduation or separation. Non-enrolled, destroy 1 year after application term. Note: records are to be maintained separately from admissions process.
GU236	Name Changes		correspondence, name change forms	Destroy in office 5 years after graduation or separation.
GU237	Pass / Fail Forms	Comply with 20 U.S.C. 1232g.		Destroy in office 1 year after request submitted.
GU238	Program Progression Appeals	Comply with 20 U.S.C. 1232g.	forms, correspondence	Transfer outcome of appeal to Registrar's Office. Destroy in office remaining records 5 years after resolution of appeal.
GU239	Repeat Course	Records concerning students' attempts to repeat courses in order to raise grades. Comply with 20 U.S.C. 1232g.	requests, disapprovals	Destroy in office after 2 years.
GU240	Student Information System (database)	Comply with 20 U.S.C. 1232g.	admission applications, transcripts, correspondence, grades, raised grades, extra hour registration, repeat course, add/drop	Update data routinely and retain in Registrar's Office permanently.

GU241	Student Teaching Certification	Comply with 20 U.S.C. 1232g.	correspondence, applications, transcripts, check sheets, grades, drop/add, class schedules	Original: Retain in Registrar's Office permanently. Reference: Destroy in office after 5 years after graduation or separation.
GU242	Theses and Dissertations	<i>See Series Title</i>		Retain 1 copy at university permanently.
GU243	Transcripts	Comply with 20 U.S.C. 1232g.		Retain in Registrar's Office permanently.
GU244	Transcript Requests (Student)	Comply with 20 U.S.C. 1232g.	request, invoice	Destroy in office 1 year after date submitted.
GU245	Transfer Equivalents	Records concerning grade transfer equivalents from other institutions. Comply with 20 U.S.C. 1232g.	correspondence, transcripts, list of credit hours earned	Retain in Registrar's Office permanently.
GU246	Undergraduate Student Records (Departmental File)	Comply with 20 U.S.C. 1232g.	correspondence, grade listings, practicum, internships	Destroy in office 5 years after graduation or separation.
GU247	Withdrawals from University	Comply with 20 U.S.C. 1232g.	withdrawal forms	Destroy in office 5 years after graduation or separation.

 *End of Student-Academic Records Section* 

UNC General Records Retention and Disposition Schedule

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STUDENT – ADMISSIONS RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU248	Advanced Placement	Comply with 20 U.S.C. 1232g.	placement tests, test results	Enrolled students, destroy 5 years after graduation or separation. Non-enrolled, destroy 1 year after application period.
GU249	Applications for Admission (Graduate)	Comply with 20 U.S.C. 1232g.	applications, correspondence, recommendations, transcripts,	Enrolled student, destroy letters of recommendation 3 years after admission and transfer remaining records to Registrar's Office when accepted. Non-enrolled, destroy 3 years after application period.
GU250	Applications for Admission (Undergraduate)	Comply with 20 U.S.C. 1232g.	applications, correspondence, recommendations transcripts,	Enrolled students, destroy letters of recommendation 3 years after admission and transfer remaining records to Registrar's Office when accepted. Non-enrolled, destroy 3 years after application period.

GU251	Entrance Examination Reports / Test Scores	Comply with 20 U.S.C. 1232g.	ACT, CEEB, GRE, SAT, LSAT, MCAT	Enrolled students, destroy 5 years after graduation or separation. Non-enrolled, destroy 1 year after application period.
GU252	Residency Classification Forms	Comply with 20 U.S.C. 1232g.	classification forms, change of residency status forms	Destroy in office 5 years after graduation or separation and when released from all audits.
GU253	Student Waivers for Rights of Access to Letters of Recommendation	Comply with 20 U.S.C. 1232g.		Destroy in office when letters of recommendation are destroyed.

End of Student-Admissions Records Section

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STUDENT – ATHLETICS RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU254	Academic Counseling	Personal and academic counseling of student athletes. Comply with 20 U.S.C. 1232g.	transcripts, grades, class schedule, academic test reports, correspondence	Destroy in office 5 years after graduation or separation.
GU255	Athletic Drug Testing	Comply with 20 U.S.C. 1232g and NCAA rules and regulations	lab reports, interpretations, correspondence	Destroy in office negative results after 1 year. Destroy in office positive results after 6 years or end of eligibility to compete whichever is later.
GU256	Athletic Eligibility	Reference copies of eligibility declarations for each student athlete. Comply with 20 U.S.C. 1232g and NCAA rules and regulations.	student status, grades, hours enrolled	Destroy in office when reference value ends.
GU257	Athletic Injury and Treatment	Comply with 20 U.S.C. 1232g and HIPAA.	injury report, treatment log, medication log, medical history, NCAA Injury Surveillance System Individual Injury forms, NCAA Weekly Expose forms	Destroy in office records after 6 years and at end of student's eligibility as a student athlete, if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
GU258	Athletic Programs	Administration of university sports programs.	programs, descriptions, proposals, reports, correspondence	Transfer to University Archives after 5 years.

GU259	Athletic Scholarships	Comply with 20 U.S.C. 1232g and NCAA rules and regulations.	applications, recommendations, authorization of awards, financial statements, correspondence	Destroy in office 5 years after graduation or separation.
GU260	Athletic Team Travel Itinerary	<i>See Series Title</i>		Destroy in office when superseded or obsolete.
GU261	Coaches' Records	<i>See Series Title</i>	playbooks, scouting reports, recruitment information.	Transfer playbooks and scouting reports to University Archives when administrative value ends. Destroy in office remaining records when reference value ends.
GU262	Drug Dispensing	Drugs dispensed to student athletes. Comply with applicable provisions of 20 U.S.C. 1232g and NCAA rules and regulations.		Destroy in office 3 years after released from all audits.
GU263	Films / Videotapes	Produced by and for the university including sporting events, interviews and other related activities. Comply with applicable provisions and restrictions of copyright and NCAA rules and regulations on distribution, use, disposition and/or copying.	film, videotape, audiotape, dvd, cd-rom	Original: Transfer to University Archives after 10 years. Reference: Destroy in office when reference value ends.
GU264	Game Contracts	Comply with NCAA rules and regulations.	agreements, contracts, correspondence	Destroy in office after 4 years and when released from all audits.
GU265	Player Recruitment	Comply with NCAA rules and regulations.	scouting reports, list of prospects, recruitment proposals, correspondence, newsletters, literature, pamphlets, brochures and audiovisual recordings	Destroy in office when administrative value ends.
GU266	Receipts from Income	Income generated from athletic events.	accounts receivable, gate receipts, advertisement, sponsorships	Destroy in office after 5 closed fiscal years.
GU267	Season Ticket Records	<i>See Series Title</i>	name, seat location, sales	Destroy in office when superseded or obsolete.

GU268	Sports Information	Includes program and student athletic information.	correspondence, schedules, promotional literature, programs, media guides, press releases, calendars of events, photographs, sports statistics	Transfer to University Archives upon publication or distribution.
GU269	Ticket Sales	<i>See Series Title</i>	itemizations, check requests, order invoices, reports	Destroy in office after 5 closed fiscal years and when released from all audits.

 *End of Student-Athletics Records Section* 

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STUDENT – FINANCIAL AID RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU270	Financial Aid Administrative	Administrative records concerning federal and state student financial aid. Comply with 20 U.S.C. 1232g.	applications, participation agreements, recommendations, correspondence, tax returns, guidelines, award notifications, eligibility criteria	Destroy in office 3 years after graduation or separation.
GU271	Financial Aid Fiscal	Financial management records concerning federal and state financial aid. Comply with 20 U.S.C. 1232g.	statements of accounts, work-study award, audit reports, check rosters, checks	Destroy in office 3 years after graduation or separation.
GU272	Financial Aid Recipients	Records of concerning award of federal and state student financial aid. Comply with 20 U.S.C. 1232g.	eligibility criteria, GPA record, correspondence, financial history, disbursement reports	Destroy in office 3 years after graduation or separation.
GU273	Financial Aid Reports	Summary reports to Chancellor and administration on yearly awards.	year end and summary reports	Transfer to University Archives after 3 years.

GU274	Loan Administration	Records concerning the administration of loans. Comply with 20 U.S.C. 1232g.	promissory notes, enrollment verification, correspondence, accounting statements, cancellation requests, disbursement rosters, repayment records	Destroy in office 3 years from date loan assigned, cancelled or repaid.
GU275	Scholarship Administration	Records concerning the administration of student scholarships. Comply with 20 U.S.C. 1232g.	correspondence, guidelines, reports, funding sources, trust fund withdrawals, description of scholarships, names of students, accounting records	Original: Destroy in office 3 years after graduation or separation. Reference: Destroy in office when administrative value ends.
GU276	Scholarship Applications (Awarded)	Applications for scholarships awarded by university. Comply with 20 U.S.C. 1232g.	applications, correspondence, recommendations, approvals, disbursements, accounting records	Destroy in office 3 closed fiscal years after graduation or separation and when released from all audits.
GU277	Scholarship Applications (Awarded, Not Accepted or Rejected)	Applications for scholarships awarded by university, rejected by student. Comply with 20 U.S.C. 1232g.	applications, approvals, correspondence, recommendations	Destroy in office 5 years after application.
GU278	Scholarship / Loan Reference	Records describing scholarships and loans.	brochures, flyers, requirements, guidelines	Transfer to University Archives when superseded or obsolete.
GU279	Veterans' Benefits	Records concerning veterans' benefits awarded. Comply with 20 U.S.C. 1232g.	accounting statements, applications, correspondence, enrollment verifications, award notifications	Destroy in office 3 years after graduation or separation.

 *End of Student-Financial Aid Records Section* 

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STUDENT HEALTH SERVICES / COUNSELING SERVICES RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU280	Controlled Drug Administrative	Accounting for receipt and control of controlled drugs by Health Center personnel.		Destroy in office 3 years after released from all audits.
GU281	Controlled Drug Audit Forms	<i>See Series Title</i>	inventory	Destroy in office 3 years after released from all audits.
GU282	Controlled Drug Dispensing Records	Daily dispensing of controlled drugs. Comply with 20 U.S.C. 1232g.		Destroy in office 3 years after released from all audits.
GU283	Immunization Incomplete Log	Incomplete immunization logs from Student Health Services. Comply with 20 U.S.C. 1232g and HIPAA.	student name, date of incomplete, date cleared	Destroy in office when superseded or obsolete.
GU284	Laboratory Results Logs	Comply with 20 U.S.C. 1232g and HIPAA.	name, type of test, result	Destroy in office 11 years after graduation or separation.
GU285	Insurance Claims, Benefits and Payment Log	Third party claims, explanation of benefits and checks received. Comply with 5 U.S.C. 552a, 20 U.S.C. 1232g and HIPAA.	name, social security number, insurance company, claim, date processed, date paid	Destroy in office after 7 years.
GU286	Medical Histories and Immunization Reports	Comply with 20 U.S.C. 1232g and HIPAA.		Transfer to Student Medical Records (Active) (GU290) for enrolled students into student's medical file. For non-enrolled applicants, destroy after 1 year.
GU287	Patient Appointment Book	Comply with 20 U.S.C. 1232g and HIPAA.		Destroy in office after 1 year.

GU288	Performance Improvement Surveys and Reviews	Self-studies conducted by Student Health Services.	correspondence, questionnaires, reports	Destroy in office when superseded or obsolete.
GU289	Radiology Jackets	Comply with 20 U.S.C. 1232g and HIPAA.	x-rays	Retain chest x-rays in office permanently. Recycle remaining records for silver reclamation after 11 years.
GU290	Student Immunizations	Immunizations received on campus. Comply with 5 U.S.C. 552a, 20 U.S.C. 1232g and HIPAA.	name, social security number, immunizations	Permanent.
GU291	Student Medical Records (Active) <i>(See also: Student Mental Health Records)</i>	Comply with 20 U.S.C. 1232g and HIPAA.	medical charts, name, medical history, accident reports	Transfer to Student Medical Records (Inactive) (GU292) after graduation or separation.
GU292	Student Medical Records (Inactive) <i>(See also: Student Mental Health Records)</i>	Comply with 20 U.S.C. 1232g and HIPAA.	medical charts, name, medical history, accidents reports	Destroy in office (inactive) 11 years after last professional contact with patient.
GU293	Student Mental Health Records (Active) <i>(See also: Student Medical Records)</i>	May include substance abuse counseling, psychiatric and/or psychological information. Comply with 20 U.S.C. 1232g and HIPAA.	notes of practitioner, diagnosis and treatment, referral letters, release of information agreement	Transfer to Student Mental Health Records (Inactive) (GU294) after graduation or separation.
GU294	Student Mental Health Records (Inactive) <i>(See also: Student Medical Records)</i>	May include substance abuse counseling, psychiatric and/or psychological information. Comply with 20 U.S.C. 1232g and HIPAA.	notes of practitioner, diagnosis and treatment, referral letters, release of information agreement	Destroy in office (inactive) 11 years after last professional contact with patient.
GU295	Substance Abuse Program Administration	Comply with 20 USCA 1232g.	attendance rosters, compliance status, reports	Transfer statistical reports to University Archives when administrative value ends. Destroy in office remaining records after 4 years.

 End of Student Health Services / Counseling Services Records Section 

UNC General Records Retention and Disposition Schedule

This Schedule applies to records in all media, unless otherwise specified.

Items – a sample listing of items found within a series. Other related records not listed may also be part of a series.

Disposition – all dispositions are minimum requirements and include, where applicable, transfer to the custody of the University Archives for appraisal and final disposition.

Destruction – takes place in the office. Any record with confidential or sensitive information shall be properly destroyed by shredding or by means to ensure that the records cannot be physically recreated.

Original and Reference Copy – original copy (also known as a record copy) is the official authorized copy kept by the office charged with creating or maintaining the record copy. Reference copies (also known as convenience copies) are preserved for the convenience of reference or ease of access.

No destruction of records may take place if litigation or audits are pending or reasonably anticipated or foreseeable.

Refer to prefatory material for additional instructions or contact your university's records officer for clarification.

STUDENT HOUSING RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU296	Housing Appeals	Records concerning decisions on refunds and/or dismissal of housing deposits and other charges. Comply with 20 U.S.C. 1232g.	correspondence, policies, decisions	Destroy in office 1 year after settlement of appeals.
GU297	Housing Security Reports	See Series Title	security reports, condition reports, with resulting list of repairs to be made	Destroy in office after 3 years.
GU298	Student Key Receipt	See Series Title	signature cards of students and conference attendees for room keys	Destroy in office after 1 year.
GU299	Student Guest Sign-in Logs	Sign-in sheets for guests of residential students.		Destroy in office after 2 years.
GU300	Student Housing Contracts	Comply with 20 U.S.C. 1232g.	contracts, correspondence, cancellations	Destroy in office 3 years after termination of agreement.
GU301	Student Housing Appliance Rental Contracts	Comply with 20 U.S.C. 1232g.	rental contracts	Destroy in office 3 years after termination of agreement.
GU302	Student Housing Applications	Comply with 20 U.S.C. 1232g.	applications, correspondence	Destroy in office after 1 year.

GU303	Student Housing Disciplinary Actions	Disciplinary actions brought against students for alleged violations of university rules and regulations found in student housing contracts. Comply with 20 U.S.C. 1232g.	correspondence, disciplinary action report form, reports	Destroy in office 5 years after resolution.
GU304	Student Housing Damages	Concerning damages to student residence halls and assessment of costs. Comply with 20 U.S.C. 1232g.	damage assessment forms, reports	Transfer records concerning individual damage assessments to Registrar's Office and Business Affairs. Destroy in office remaining records after 3 years.
GU305	Summer School Housing	Records concerning housing available during summer session.	applications, correspondence, contracts, cancellations, damages list	Destroy in office after 3 years.

End of Student Housing Records Section

UNC General Records Retention and Disposition Schedule

This Schedule applies to records in all media, unless otherwise specified.

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STUDENT LIFE RECORDS

Series #	Series Title	Series Description	Items	Disposition
GU306	Career Planning / Placement Records	<i>See Series Title</i>	resumes, job interview forms, student profile data sheets	Destroy in office when administrative value ends.
GU307	Commuter Student Information	Information designed for commuting students.	correspondence, articles, brochures, newsletter, surveys	Transfer to University Archives after 5 years.
GU308	Disciplinary Records (Academic) <i>(See also: Honor Code Violations)</i> <i>Disciplinary Records (Non-Academic)</i>	Brought against students for academic infractions. Comply with 20 U.S.C. 1232g, Student Conduct Code and appeals process.	correspondence, charges, evidence, summary, transcripts, audiotapes	Expulsion cases: Retain in office permanently. Non-expulsion cases: Destroy in office 8 years after date of settlement or hearing.
GU309	Disciplinary Records (Non-Academic)	Brought against students for violations of university rules and regulations. Comply with 20 U.S.C. 1232g, Student Conduct Code and appeals process.	correspondence, charges, evidence, summary, transcripts, audiotapes, police reports	Expulsion cases: Retain in office permanently. Non-expulsion cases: Destroy in office 8 years after date of settlement or hearing.
GU310	Excused Absences	<i>See Series Title</i>		Destroy in office at end of each semester.

GU311	Fraternities and Sororities	Comply with 20 U.S.C. 1232g.	correspondence, charters, discipline, GPA, membership, reports, photographs, scrapbooks	Transfer to University Archives after 5 years.
GU312	Honor Board	Records concerning membership functions of the Honor Board. Comply with 20 U.S.C. 1232g.	applications, selection criteria, position descriptions, training information	Transfer selection criteria, position descriptions, training information, policies and procedures to University Archives when superseded or obsolete. Destroy in office applications and membership lists when administrative value ends.
GU313	Honor Code Violations	Violations of university honor code. Comply with 20 U.S.C. 1232g and appeals process.	investigations, case files, trial transcripts	A. Destroy in office records involving cases tried and resulting in acquittal after verdict. B. Transfer pertinent information involving cases tried and resulting in conviction to Registrar's Office and Dean's Office after verdict. Destroy in office remaining records involving case after 10 years. C. Destroy in office records not concerning cases after 7 years.
GU314	Intramural Sports	<i>See Series Title</i>		Destroy in office after 3 years.
GU315	Non-Traditional Students Information	<i>See Series Title</i>	correspondence, handbooks, surveys and studies	Transfer to University Archives after 5 years.
GU316	Student Counseling	Records concerning Center for Counseling and Student Development clients. Comply with 20 U.S.C. 1232g and APA.	case notes, test results, treatment plans, referrals, correspondence, evaluations, case summaries	Destroy in office 7 years after client's last visit. Destroy in office case summaries after 10 years.
GU317	Student Accident Reports	Comply with 20 U.S.C. 1232g.	affidavits, photographs	Destroy in office after 7 years.
GU318	Student Associations and Organizations	Associations and organizations officially recognized by the university.	constitutions, by-laws, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks	Transfer to University Archives after 1 year.
GU319	Student Awards and Honors	Comply with 20 U.S.C. 1232g.	recommendations, approvals, reference information	Transfer information concerning recipients of awards and honors to the Registrar's Office at end of each grading period to be incorporated into official academic file. Transfer remaining records to University Archives after 5 years.

GU320	Student Government Association	<i>See Series Title</i>	constitution, by-laws, committee files, correspondence, fiscal records, meeting minutes, annual reports	Transfer to University Archives after 1 year.
GU321	Student Legal Services	Records concerning the administration of student legal services.	reports, correspondence, financial data, budgets	Transfer to University Archives after 5 years.
GU322	Student Legal Services Cases	Comply with 20 U.S.C. 1232g.	reports, transcripts, opinions	Destroy in office 5 years after completion of action and resolution of all issues.
GU323	Services to Students with Disabilities	Comply with 20 U.S.C. 1232g and HIPAA.	health professional evaluation reports, autobiographical essays, copies of admission applications, high school transcripts, physicians' statement, counseling interview notes	Destroy in office 4 years after graduation or separation.

 *End of Student Life Records Section* 

UNC General Records Retention and Disposition Schedule

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UNIVERSITY POLICE / PUBLIC SAFETY RECORDS

Comply with applicable provisions of GS 132-1.4 and 5 USC 552a regarding confidentiality of records.

Series #	Series Title	Series Description	Items	Disposition
GU324	Alarm Monitoring Reports	See Series Title	fire and security alarm reports	Destroy in office after 2 years.
GU325	Bans / Trespass Warnings	See Series Title	name, social security number, date of birth, type of offense	Destroy in office 2 years after ban removed.
GU326	Building and Grounds Security Checks	See Series Title	logs and reports	Destroy in office after 3 years.
GU327	Duty Assignment	See Series Title	name, dates	Destroy in office after 5 years.
GU328	Case Records	Felony / misdemeanor investigations. Comply with 20 U.S.C. 1232g, confidentiality of records G.S. 20-166(l), G.S. 97-02(b) and G.S. 132-1.1.	arrests, investigations, statements, incident reports, photographs, evidence sheets, dispatch, name, warrant, recording	Destroy in office closed felony case records after 20 years. Destroy in office closed misdemeanor case records after 5 years.
GU329	Communications / Dispatch	Radio, telephone and 911 emergency recordings of incoming and/or outgoing communications and/or related database.		Transfer felony/misdemeanor dispatches to appropriate Case Records File when created. Destroy in office remaining records when administrative value ends.

GU330	Confiscated Property	Confiscation, control and return or disposal of weapons confiscated during searches or arrests.	name, property, reports	Destroy in office after 5 years.
GU331	Controlled Substance Seizure	Confiscation / receipt, control and return or disposal of controlled substances.	name, substance	Destroy in office 3 years after disposal of items.
GU332	Evidence Tracking	Used to receipt for, control, track, account for, dispose of or return evidence.	name, receipt, item, report	Destroy in office 3 years after final disposition of evidence.
GU333	Liability Waiver	Waiver used when unlocking vehicles.		Destroy in office after 3 years.
GU334	Lost and Found Log	<i>See Series Title</i>		Destroy in office after 3 years.
GU335	Parking Tickets			Destroy in office after 3 closed fiscal years and when released from all audits.
GU336	Police Incident Report	Comply with G.S. 20-166(i), G.S. 97-92(b) and G.S. 132-1.1.	incident type, case number, NCIC (National Crime Information Center) entries, property estimates, names, affidavits, descriptions, photographs	Transfer felony and misdemeanor reports to appropriate Case Records File when created or opened. Destroy in office remaining records after 5 years
GU337	Security / Surveillance/Mobile Video Recordings	Security camera recording file showing activities on campus.		Transfer as needed to Evidence File. If not required to support investigations or litigations reuse or destroy in 30 days.
GU338	Traffic Accident Reports	<i>See Series Title</i>	location, accident sequence and diagram, vehicle inquiries, investigating officers' description, apparent violations	Transfer to NC Division of Motor Vehicles within 10 days. Destroy in office duplicate/reference copy when reference value ends. If accident does not meet the requirements for reporting to Division of Motor Vehicles, destroy after 3 years.
GU339	Towed Vehicle Reports	<i>See Series Title</i>		Destroy in office after 3 years.
GU340	Traffic Citations	<i>See Series Title</i>		Original: Transfer to Clerk of the Court. Reference: Destroy in office after 3 years.
GU341	Traffic Stop Reports	<i>See Series Title</i>	name, race, sex, violation, actions of police and offender	Destroy in office after 3 years.
GU342	Vehicle Registration	<i>See Series Title</i>	bicycle registration, vehicle registration, name	Destroy in office when administrative value ends.

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