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# **UNIVERSITY ARCHIVES AND RECORDS MANAGEMENT SERVICES**

## **General Records Retention and Disposition Schedule**

*The University of North Carolina at Chapel Hill  
and the University of North Carolina System  
Office*

**Issued By:**  
**University Archives and Records Management Services**  
**Wilson Special Collections Library**  
**The University of North Carolina at Chapel Hill**  
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# **Introduction to the General Records Retention and Disposition Schedule**

## **What Is a Records Retention and Disposition Schedule?**

A records retention and disposition schedule is a document used to identify and manage the records that document the activities and history of an organization. It identifies and classifies the records created, received, and used by the organization and provides instructions on how long they need to be retained for legal, fiscal, and historical purposes.

This records retention and disposition schedule is a tool for employees of The University of North Carolina at Chapel Hill to use when managing the records of the University. It lists records found in the administrative, academic, and health affairs units of the University and gives an assessment of their value by indicating if, and when, they should be destroyed or transferred to University Archives.

This schedule is also an agreement between the unit, University Archives and Records Management Services (UARMS), and the North Carolina Department of Natural and Cultural Resources (DNCR). It supersedes all previous records retention and disposition schedules that may have been created for individual units; and serves all administrative, academic, and health affairs units of the University.

## **Organization of the Schedule**

This records retention and disposition schedule is organized by business functions carried out by the University into eighteen broad groups. These groups are listed alphabetically in the Table of Contents and refer to the purpose of the records, not the name of the unit they are created or used by.

Within the functional groups, the schedule is further organized into more specific records series. These series name, describe, provide examples, and set forth disposition instructions for each type of record. Again, these series refer to the purpose of the records, not the name of the unit they are created or used by. Records series are numbered with a unique identifier to allow University staff to quickly reference specific series in the schedule.

It is important to remember that the records retention and disposition schedule applies to all records made or received in connection with the transaction of University business, regardless of format, unless otherwise specified.

## **Using the Schedule**

Nearly every unit of the University creates, receives, or uses records. Therefore, every unit should be familiar with the Records Retention and Disposition Schedule and how to use it to manage these records.

The name of each records series reflects the purpose of the records. If you do not know the name of the records series you are looking for, use the Table of Contents to identify the functional group the series should be found within.

Because this records retention and disposition schedule applies to all administrative, academic, and health affairs units at the University it contains information that some employees will not need to use. It is the responsibility of the employee to determine which records series apply to the records created and used within your unit and follow the disposition instructions for those records.

It is important to remember that the records retention and disposition schedule applies to all records created or used by the University, regardless of format, unless otherwise specified.

If you are using an electronic copy of the schedule you can also use CTRL + F (or Command + F on a Mac) to search for specific words or text.

## **A Note on Reference Copies**

Unless otherwise specified, reference copies of records, which have been made or received purely for the sake of convenience and ease of access and are not the official record copy, can be destroyed when their reference value ends.

## Format

Each records series is formatted as follows. The grayed out text below, e.g. “Confidentiality” and “Office of Record,” is not always applicable, and does not appear in every records series.

### **Series number. Title of Records Series**

Series description. Usually contains a statement addressing the purpose of the records as well as a list of specific examples of records that this series may include.

**Confidentiality:** Statement of confidentiality (if applicable)

**Office of Record:** Name of office of record (if applicable)

**Note/See Also:** Other comments (if applicable)

**Disposition Instructions:** Designates the period(s) of time that the records contained in this series must be retained and disposition instructions for these records.

REFERENCE COPY:

Also designates the retention periods and disposition instructions for reference copies of records contained in this series (if applicable).

## Protecting Confidential Information



If you see this symbol beside the title of a records series it means that some of the records within this series could contain sensitive or confidential information that may need to be protected. Records that contain sensitive information must be stored in a secure area, such as a locked room or locked filing cabinet, or in a password protected electronic file or secure server. Additionally, records that contain sensitive information must be destroyed in a way that ensures that confidentiality of these records will be preserved. For more information about identifying and securing sensitive records, please see the UNC ITS websites “What Is Sensitive Information?” and “Securing Sensitive Information.”<sup>1</sup>

**Keep in mind that ALL University records are created in the way that best meets its business needs and therefore may contain protected, sensitive, or confidential information that may not be identified by the included confidentiality statement.**

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<sup>1</sup> <https://help.unc.edu/help/what-is-sensitive-data/> and <https://help.unc.edu/help/securing-sensitive-information/>

## **Important Terms Used in the Schedule**

**Public Record** – N.C. General Statute Chapter 132, the North Carolina Public Records Act, 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.

**Office of Record** – the organization or administrative unit that is officially designated for the maintenance, preservation, and disposition of a record.

**Record Copy** – a record held by an office that is the official keeper of that record for the University.

**Reference Copy** – a record held by an office for its own reference that is not the official record for the University.

**Litigation Hold** – a direction halting the scheduled destruction of any records that are potentially relevant to litigation, investigation, audit, or other official action.

**Sensitive or Confidential Information** – information that is personal or confidential as defined by federal or state law and should be protected from public scrutiny.

## **Important Legislation Referred to in the Schedule**

**N.C. General Statute Chapter 132 (Public Records Act)** – see above.

**N.C. General Statute Chapter 126 (State Human Resources Act)** – a State law which protects access to certain personnel records.

**20 U.S.C. 1232g Family Educational Rights and Privacy Act of 1974 (FERPA)** – a federal law that protects the privacy of student education records. The law applies to all schools that receive federal funds under an applicable program of the U.S. Department of Education.

**42 U.S.C. 1320d-2(d)(2) Health Insurance Portability and Accountability Act of 1996 (HIPAA)** – a federal law that protects the confidentiality of personal health information.

Please note that not all legislation cited or referred to in the Schedule is included in this list. See specific series for additional information.

## **More Information**

If you have questions or need additional help using the Records Retention and Disposition Schedule please contact University Archives staff at (919) 962-6402 or [archives@unc.edu](mailto:archives@unc.edu). The University Archives has prepared a guide to records management at UNC that many offices may find helpful: <http://guides.lib.unc.edu/recman/>.

## **Transitory Records**

Transitory records are defined as “record[s] that [have] little or no documentary or evidential value and that need not be set aside for future use.”<sup>2</sup>

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 approval from the Department of Natural and Cultural Resources.

The Department of Natural and Cultural Resources recognizes that some records may have little or no long-term documentary or evidential value to the creating agency. These records are often called “transitory records.” The following questions and answers discuss types of transitory records commonly created in state government. They may be disposed of according to the guidance below. However, all public employees should be familiar with the University of North Carolina General Records Retention and Disposition Schedule, this UNC-Chapel Hill General Records Retention and Disposition Schedule, and any other applicable guidelines for their office. If any of these documents require a different retention period for these records, follow the longer of the two retention periods. When in doubt about whether a record is transitory, or

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<sup>2</sup> *A Glossary of Archival and Records Terminology*, Richard Pearce-Moses (2005)

whether it has special significance or importance, retain the record in question and seek guidance from the analyst assigned to your agency.

### **What do I do with routing slips, fax cover sheets, “while you were out” slips, memory aids, etc.?**

Routing slips and transmittal sheets adding no information to that contained in the transmitted material have minimal value after the material has been successfully transmitted. These records may be destroyed or otherwise disposed of after receipt of the material has been confirmed.

Similarly, “while you were out” slips, memory aids, and other records requesting follow-up actions (including voicemails) have minimal value once the official action these records are supporting has been completed and documented. Unless they are listed on the University of North Carolina General Records Retention and Disposition Schedule or this UNC-Chapel Hill General Records Retention and Disposition Schedule, these records may be destroyed or otherwise disposed of once the action has been resolved.

### **What about research materials, drafts, and other working papers used to create a final, official record?**

Drafts and working papers are materials, including notes and calculations, gathered or created to assist in the creation of another record. All drafts and working papers are public records subject to all provisions of General Statute § 132, but many of them have minimal value after the final version of the record has been approved, and may be destroyed after final approval, if they are no longer necessary to support the analysis or conclusions of the official record. Drafts and working documents which may be destroyed after final approval include:

1. Drafts and working papers for internal and external policies
2. Drafts and working papers for internal administrative reports, such as daily and monthly activity reports
3. Drafts and working papers for internal, non-policy-level documents, such as informal workflows and manuals; and
4. Drafts and working papers for presentations, workshops, and other explanations of agency policy that is already formally documented.

Working papers supporting certain financial, legal, and other mission-critical functions, however, may continue to have value even after the final, official copy has been approved. To retain these records appropriately, consult the University of North Carolina General Records Retention and Disposition Schedule and this UNC-Chapel Hill General Records Retention and Disposition Schedule.



## **What if I have forms designed and used solely to create, update, or modify records in an electronic medium?**

If these records are not required for audit or legal purposes, they may be destroyed in office after completion of data entry and after all verification and quality control procedures. However, if the forms contain any analog components that are necessary to validate the information contained on them (e.g. a signature or notary's seal), they should be retained according to the disposition instructions for the records series encompassing the forms' function.

See also the State Archives of North Carolina's guidance on digital signatures found at the following link: <https://archives.ncdcr.gov/documents/digital-signature-policy-guidelines>

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 approved records retention and disposition schedules, not replace or supersede it.

While records of short-term value may be discarded as described above, all public employees should be familiar with the 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 and contact us at [archives@unc.edu](mailto:archives@unc.edu).

### **One-Time Destruction**

One-time destruction of an accumulation of an unscheduled or a discontinued record series should be referred to University Archives and Records Management Services ([archives@unc.edu](mailto:archives@unc.edu)) and the Department of Natural and Cultural Resources for authorization.

### **Amending or Adding a Record Series**

If you find that your office has records that are not listed in this schedule, please contact the University Archives at [archives@unc.edu](mailto:archives@unc.edu). If it is determined that the records are not addressed by any series in the current schedule, we will work with you to develop a new series or amend an existing series to address your needs.

### **Litigation, Audit or Public Records Request Holds**

If a litigation, audit, or public records request hold is placed on a group of records, the hold will supersede all other retention rules. Offices handling records placed under a hold should retain all affected records until the hold is cleared by legal counsel or the office of public records. The University Archives staff cannot remove a hold. Once a hold is lifted, the office of record should proceed with records disposition instructions as specified in the records schedule.

## 1. Administrative Records

### 1.1 Academic Program Records

Records documenting the University's academic programs. This series may include but is not limited to: program proposals, program descriptions, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 5 years.

### 1.2 Accreditation Records

Records documenting the accreditation process for the University and/or its schools, colleges, programs, and departments by the Southern Association of Colleges and Schools (SACS) or other accreditation bodies. This series may include but is not limited to: reports, questionnaires, guides, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for final report. Transfer 1 copy of final report to the custody of University Archives after accreditation process ends.
- b. Destroy in office remaining records when reference value ends.

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### **1.3 Activities and Events Records**

Records documenting activities and events that are initiated or sponsored by the University, and the efforts of individual units to provide informative sessions, short courses, workshops, training programs, excursions, and celebratory events for the University community. This series may include but is not limited to: planning materials, reports, promotional and publicity materials, schedules, bulletins, memorandums, circulars, invitations, announcements, press releases, news clippings, presentation materials, registration and attendance lists, evaluations, photographs, video and audio recordings, and related documentation and correspondence.

#### **Disposition Instructions:**

- a. Permanent for planning materials, reports, promotional and publicity materials, press releases, photographs, audio and video recordings, and schedules of speakers and activities. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office remaining records after 5 years.

### **1.4 Administrative Conflict of Interest Records**



Records documenting the policies of the Board of Governors and constituent institutions on holding political office, dual appointments, and other external positions or work that may present administrative conflicts of interest. This series may include but is not limited to: petitions of candidates, legal opinions, publications, policies, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Note:** Actions taken in response to petitions from candidates will be reflected in the Board of Governors Minutes maintained by the Office of the Secretary.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

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**1.5 Administrative Records**

Records documenting administrative and official operations of an individual office. This series may include but is not limited to: reports, memorandums, directives, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 years or when reference value ends.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.6 Advisory Board Records**

Records documenting the actions of unit advisory boards, including Boards of Visitors. This series may include but is not limited to: minutes, announcements, policies, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 years or when reference value ends.

**1.7 Audio and Visual Recordings**

Recordings produced by and for the University documenting events, interviews, and other University-sponsored and related activities. This series may include but is not limited to: films, videotapes, audiotapes, DVDs, CDs, and other formats of audio and visual recordings.

**Disposition Instructions:**

- a. Permanent for selected recordings. Consult with University Archives when reference value ends.
- b. Destroy in office remaining records when reference value ends.

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**1.8 Audit Investigation Records**



Records documenting investigations conducted by UNC's internal auditors and the State Auditor. This series may include but is not limited to: final reports, close out letters, misuse reports (reference), incident reports (reference), working papers, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 97-92(b), 116-40.7(c), 120-166.6 (i), 132-1.1, and 132-1.4 regarding confidentiality of legal-counsel reports and police reports.

**Office of Record:** Office of University Counsel maintains copies of state property incident reports for misuse filed with the State Bureau of Investigation. UNC Police maintains official incident reports. Department of Internal Audit maintains investigation records.

**See Also:** Litigation Records

**Disposition Instructions:**

- a. Destroy in office final audit reports; reports of examinations, investigations, surveys, and reviews; and close-out letters after 10 years.
- b. Destroy in office remaining records after 7 years and when any litigation associated with the investigation is completed.

**REFERENCE COPY**

**Disposition Instructions:** Destroy in office after 3 years.

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**1.9 Awards and Honors Records**



Records documenting faculty, staff, student, and alumni awards that are not associated with grants. This series may include but is not limited to: applications, nominations, criteria, transcripts, curriculum vitae, press releases, funding data, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records, and 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Permanent for eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary list of winners, biographies of winners, and press releases. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office remaining records after 1 year.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**1.10 Board of Governors Records**

Records documenting the actions of the UNC Board of Governors and associated committees. This series may include but is not limited to: minutes, resolutions, reports, agendas, attachments, pre-meeting binders, planning documents, and related documentation and correspondence.

**See Also:** University of North Carolina Policy Manual Records

**Disposition Instructions:**

- a. Permanent for final bound minutes, resolutions, official actions of the Board of Governors, pre-meeting binders, and meeting handouts. Transfer to the custody of University Archives after 5 years.
- b. Permanent for electronic copies of final meeting minutes and associated attachments. Retain in office permanently and maintain on appropriate website for public access.
- c. Destroy in office remaining records after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 5 years.

**1.11 Board of Trustees Records**

Records documenting the actions of the UNC-Chapel Hill Board of Trustees. This series may include but is not limited to: minutes, announcements, policies, reports, and related documentation and correspondence.

**Office of Record:** Secretary of the University.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 years and when reference value ends.

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**1.12 Calendar of Events**

Calendars used for keeping track of activities and events across campus.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when published.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.13 Committee, Council, and Task Force Records**



Records documenting the actions of committees, councils, or task forces appointed, elected or ad hoc that are charged with formulating and recommending institutional policies and procedures; establishing standards and requirements; performing an advisory function; or reviewing petitions, appeals and deviations from policy. This series may include but is not limited to: minutes, notifications of meetings, agendas, reports, briefing materials, working papers, photographs, correspondence, and related documentation.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**See Also:** Search Records, Admissions Records

**Disposition Instructions:**

- a. Permanent for minutes, agendas, reports, photographs, and correspondence. Transfer to the custody of University Archives after 3 years.
- b. Destroy in office remaining records after 5 years if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.



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**1.14 Complaint Records**



Records documenting complaints filed by the campus community involving allegations of discriminatory practices or behavioral misconduct within the University. This series may include but is not limited to: complaint documentation, appeals, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974).

**Office of Record:** Equal Opportunity/ADA Office, Office of Human Resources, Individual HR units, Office of Student Affairs.

**Note:** Includes filings with the Equal Employment Opportunity Commission and Department of Education.

**Disposition Instructions:** Destroy in office 3 years after employee leaves employment, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office 3 years after termination of employment, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**1.15 Conference, Training Program, and Workshop Records**

Records documenting conferences, training programs, and workshops conducted by units or attended by representatives of the University. This series may include but is not limited to: agendas, handouts, training materials, travel documents, evaluations, reports, invoices, contracts and agreements, registrations, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for agendas, handouts, reports, training materials, and planning materials of conferences, training programs, and workshops conducted by units. Transfer records to the custody of University Archives after 5 years.
- b. Destroy in office remaining records when reference value ends.

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**1.16 Consulting Records (Faculty/Staff)**

Records concerning legal opinions, policy reviews, advice, or expertise communicated by faculty and/or staff to public officials, government agencies, private citizens, and others. Includes documentation of information provided and other related records.

**Disposition Instructions:** Destroy in office when reference value ends.

**1.17 Contracts, Agreements, and Leases Records**

Records concerning services, facilities, and equipment used by units in the performance of routine University business, not to include sponsored projects (addressed in Section 6). This series may include but is not limited to: draft and final copies of contracts, agreements, leases, and related documentation and correspondence.

**Office of Record:** Purchasing Services maintains contracts, agreements, and leases paid by purchase orders. The Property Office maintains contracts, agreements, and leases signed by the Vice Chancellor for Finance and Administration. Individual unit maintains contracts, agreements, and leases fully funded and paid by foundation monies and exempt from procurement regulations.

**See Also:** UNC Press Administrative Records; Sponsored Projects and Research Records

**Disposition Instructions:**

- a. Destroy in office 5 years after expiration of all rights and obligations provided for by the agreement, including those surviving termination of the agreement, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b. For sealed agreements, destroy in office 10 years after expiration of all rights and obligations provided for by the agreement, including those surviving termination of the agreement, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- c. For contracts, agreements, leases and purchase orders that also have a Business Associate Agreement, retain for six years past expiration of the Business Associate Agreement. If not already done, forward a copy of the Business Associate Agreement and associated contract to the Institutional Privacy Office.

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**1.18 Copyright Records**

Records documenting and related to the preparation, filing, and maintenance of copyrights owned by the University. This series may include but is not limited to: applications, registrations, notices, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when copyright expires or is not renewed.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.19 Election Records**

Records documenting elections held by various faculty and staff organizations. This series may include but is not limited to: ballots, tabulations, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 1 year.

**1.20 Faculty Governance Records**



Records documenting the actions of faculty governance bodies, such as the faculty senate or council and committees. This series may include but is not limited to: minutes and attachments, correspondence, reports, faculty code, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24, regarding confidentiality of personnel records. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**1.21 Federal Communications Commission (FCC) License Records**

Records documenting licensing by the Federal Communications Commission of the university's broadcast and broadband services. File includes license applications, renewals, and supporting documentation; copies of licenses; reports; operations permits; employment statistics; broadcast logs; correspondence and other related records.

**Disposition Instructions:** Destroy 3 years after expiration of license or any action concerning the license, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**1.22 Historical Memorabilia**

Items documenting significant events or times for the unit. This series may include but is not limited to: plaques, scrapbooks, press releases, clippings, newsletters, photographs, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 year

**1.23 Hold Harmless, Liability Waiver, and Release Records**



Records documenting the release of the University or its units from liability related to various activities involving students, faculty, and staff. This series may include but is not limited to: hold harmless, waiver, and release forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.1 regarding confidentiality of legal opinions. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24, regarding confidentiality of personnel records.

**See Also:** Family Educational Rights and Privacy Act Compliance Records (FERPA), Student Waivers for Rights of Access to Letters of Recommendation

**Disposition Instructions:** Destroy in office 5 years after event for which form was signed if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**1.24 Insurance Records**

Records documenting insurance obtained for University property, liability, and other related insurance policies. This series may include but is not limited to: policies on buildings, property, personnel, and related documentation and correspondence.

**Office of Record:** Materials Support Department, Risk Management Services.

**Disposition Instructions:**

- a. Destroy in office automobile and other liability policies and related records 10 years after termination or expiration of policy.
- b. Destroy in office property and casualty policies and related records 1 year after termination or expiration of policy.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.25 Lectures and Lecture Series Records**

Records documenting the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the University or its units. This series may include but is not limited to: lecture committee notes, memoranda, planning materials, information on funding, financial support and honoraria records, patron information, programs, announcements, information on catering arrangements, news releases, transcripts, photographs, audio and video recordings, and correspondence and related documentation.

**Disposition Instructions:**

- a. Permanent for lecture committee notes, memoranda, planning materials, programs, announcements, news releases, transcripts, audio and video recordings, photographs, and correspondence. Transfer to the custody of University Archives after 10 years.
- b. Destroy in office remaining records after 10 years.

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**1.26 Legal Counsel Records**



Records documenting legal opinions and counsel provided by the Office of Legal Affairs and Office of University Counsel. This series may include but is not limited to: minutes, notifications, reports, legal opinions, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.1 regarding confidentiality of legal opinions. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Permanent for minutes, notifications, reports, legal opinions, and correspondence. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office remaining records after 5 years.

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**1.27 Litigation and Appeals Records**



Records documenting litigation filed against or on behalf of the UNC System Office or the Board of Governors, or UNC-Chapel Hill or the Board of Trustees, and appeals to these entities. This series may include but is not limited to: trial preparation records, legal opinions, pleadings, copies of records of the courts, final decisions, summary statements, appeals, and related documentation and correspondence.

**Office of Record:** Office of Legal Affairs (UNC System Office), Office of University Counsel (UNC-Chapel Hill).

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.1 regarding confidentiality of legal opinions. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with G.S. 126 regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Permanent for records of cases resulting in major policy modification, or cases considered historical. Transfer pleadings, final decisions, copies of records of the courts, and summary statements to the custody of University Archives 5 years after all litigation, appeals, claims, audits, or other actions have been completed and all pending actions resolved.
- b. Destroy in office remaining records 5 years after final decision.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office 5 years after all litigation, appeals, claims, audits, or other actions have been completed and all pending actions resolved.

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**1.28 News Releases and Public Relations Records**

Records documenting the promotion of the University and University activities through informational materials. This series may include but is not limited to: photographs, press kits, press releases, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.29 Notary Public Records**

Records documenting University-related notary transactions completed by a notary public employed by UNC-Chapel Hill and the UNC System Office. UNC-Chapel Hill and the UNC System Office may retain log books by agreement with the notary public after their separation from University employment. This series may include but is not limited to: log books, templates, seals, and related documentation and correspondence.

**Note:** Comply with applicable provisions of G.S. 10B (Notary Public Act).

**Disposition Instructions:**

- a. Comply with G.S. 10B-36(a) for final disposition of seal.
- b. Destroy remaining records in office 7 years after date of notary public's commission expiration.

**1.30 Open Meetings Law Records**

Records documenting open meetings and the administration of open meeting policy at UNC pursuant the North Carolina Open Meetings law. This series may include but is not limited to: open meeting summaries, open meeting notifications, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.



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**1.31 Organization and Association Records**

Records documenting the actions of faculty, student, staff, and professional organizations and associations within or with significant interaction with the University and its units. Includes announcements, minutes, publications, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.32 Organizational Charts**

Organizational charts showing the hierarchy and reporting structure of UNC-Chapel Hill and the UNC System Office and its units.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when superseded or obsolete.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.33 Patent Records**

Records documenting and related to the preparation, filing, maintenance of, and rights granted by patents owned by the University. This series may include but is not limited to: patents, applications, notice of award, and related documentation and correspondence.

**Office of Record:** Office of Technology Development

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when patent expires.

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**1.34 Photographs**

Photographs of University events, people, places, and things. This series may include but is not limited to: photographic prints, negatives, print indexes, and digital images.

**Disposition Instructions:**

- a. Permanent for selected pictures documenting historic events and people. Consult with University Archives when reference value ends.
- b. Destroy in office remaining records when reference value ends.

**1.35 Policies and Procedures Records**

Records documenting administrative policies and procedures of the University and its units written by the unit and concerning the unit. This series may include but is not limited to: draft and final copies of policies and procedures, supporting documentation, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for final policy and/or procedure. Transfer to the custody of University Archives when superseded or obsolete.
- b. Destroy in office remaining records 1 year after policy and/or procedure adopted.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when superseded or obsolete.

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**1.36 Post-Secondary Institution Licensure Records**

Records concerning licensure of nonpublic post-secondary and post-secondary–exempt institutions offering degrees within North Carolina. Includes correspondence, applications, annual reports, reviews, exemption request forms, accreditation information, accreditation records, applications, reviews, approval notifications, waivers and other related records.

**Note:** This series does not include waiver forms from schools approved prior to 1972.

**Disposition Instructions:** Maintain in office permanently.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.37 Professional Membership Records**

Records documenting institution-paid individual and unit memberships to and activities in professional organizations. This series may include but is not limited to: applications for membership, certification of membership, documentation of activities, and related correspondence.

**Disposition Instructions:** Destroy in office after 3 years unless membership was billed to an external funding source, in which case, destroy after the record retention period required of the external source terms and conditions.

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**1.38 Public Records Request Records**

Records documenting requests to access records of UNC-Chapel Hill and the UNC System Office pursuant to G.S. Chapter 132. This series may include but is not limited to: public records requests, reference copies of legislation relating to records access, guidelines, responses, and related documentation and correspondence.

**See Also:** Litigation and Appeals Records

**Office of Record:** Office of University Counsel, Office of Human Resources, Registrar's Office, UNC Police

**Disposition Instructions:**

- a. Destroy in office public records requests 3 years after last action, if no litigation, claim, audit, or 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.
- b. Destroy in office remaining records after reference value ends.

**1.39 Publications**

Publications prepared by the University or private organization, consultant, or research firm under contract or the supervision of the University. This series may include but is not limited to: reports, directories, statistical compendia, bibliographies, maps, regulations, newsletters, websites, online publications, pamphlets, brochures, periodicals, bulletins, compilations, and registers.

**Note:** These publications do not include administrative documents used only within the University or documents produced for instructional purposes not for sale or publication. Only final publications are retained permanently.

**Disposition Instructions:**

- a. Permanent. Transfer one copy of each unit's publication to the North Carolina Collection, CB #3930 (phone: 919-962-1172).
- b. Permanent. Transfer one copy to the custody of University Archives when reference value ends. (For websites and online publications, contact University Archives for transfer.)

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**1.40 Reports**

Reports documenting the activities of the University and its units. This series may include but is not limited to draft and final copies of reports and supporting documentation.

**Disposition Instructions:**

- a. Permanent for final report. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office drafts and remaining records one year after final report submitted.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.41 School and Lender Program Review Records (State Education Assistance Authority)**

Records documenting the program review process for UNC system schools and student loan lenders. This series may include but is not limited to: copies of review objectives, interview notes, analyses, correspondence, findings and recommendations, reports, and related documentation and correspondence.

**Office of Record:** State Education Assistance Authority

**Disposition Instructions:** 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 in office after completion of action and resolution of issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**1.42 Self-Study Records**

Records documenting self-studies conducted by units to identify and describe unit goals and performance over time. This series may include but is not limited to: program reviews, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives upon completion of the self-study.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.43 Speeches, Statements, and Addresses**

Records documenting speeches, statements, addresses, and presentations written and delivered by institutional faculty and staff in connection with institutional business. This series may include but is not limited to: final copies, audio and video recordings, drafts, source materials, and working papers.

**Disposition Instructions:**

- a. Permanent for final copies and recordings. Transfer to the custody of University Archives when reference value ends.
- b. Destroy in office remaining records when reference value ends.

**1.44 Special Activity Records**

Records documenting the activities of a unit which are performed in addition to its regular or main functions. Examples may include the completion of surveys and questionnaires, compilation of special studies for professional or academic associations, and special mailings. This series may include but is not limited to: arrangements documentation, working papers, questionnaires, survey forms, study designs, reports, correspondence, and related documentation.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives 5 years after completion of special project.

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**1.45 Staff and Faculty Meeting Records**

Records documenting unit staff and faculty meetings. This series may include but is not limited to: agendas, minutes, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**1.46 State Education Assistance Authority (SEAA) Board of Directors Meeting Records**

Records documenting the activities of the SEAA Board of Directors. This series may include but is not limited to: minutes, resolutions, reports, agendas, attachments, meeting materials and planning documents, and related documentation and correspondence.

**Office of Record:** SEAA

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**1.47 Tort Claim Records**



Records documenting legal claims of and resulting actions due to accidents, damages, or injuries on UNC grounds or in UNC buildings. This series may include but is not limited to: claims, reports, settlements, and related documentation and correspondence.

**Confidentiality:** Comply with G.S. 132-1.1 regarding confidentiality of legal opinions.

**Office of Record:** Office of University Counsel maintains all official legal records.

**Disposition Instructions:** Destroy in office 5 years after case is closed if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, follow disposition instructions in section 1.27 (Litigation and Appeals Records).

**1.48 Trademark Records**

Records related to preparation, filing, maintenance, and rights related to trademarks registered by the University. This series may include but is not limited to: applications, registration, notices, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when trademark expires or is not renewed.

**1.49 UNC Press Administrative Records**



Records documenting the actions of and manuscripts published by UNC Press. This series may include but is not limited to: proposals, reviews, marketing plans, author questionnaires, contracts, contributor and editor agreements, and related documentation and correspondence.

**Confidentiality:** Comply with provisions of 5 U.S.C. § 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data. Comply with applicable provisions of G. S. 132-1.2(1) a-d regarding the protection and confidentiality of trade secrets.

**Office of Record:** UNC Press

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives when reference value ends.



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**1.50 UNC Press Publications**

Publications of UNC Press maintained as the official press publication archive. This series may include but is not limited to: copies of publications.

**Office of Record:** UNC Press

**Disposition Instructions:** Permanent. Transfer one copy of each publication to the custody of University Archives after publication.

**1.51 UNC Press Royalty Records**



Records documenting payments due to authors for the sale of books published by UNC Press. This series may include but is not limited to: sales figures, payment invoices, and related documentation and correspondence.

**Confidentiality:** Comply with provisions of 5 U.S.C. § 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data. Comply with applicable provisions of G.S. 132-1.2(1) a-d regarding the protection and confidentiality of trade secrets.

**Office of Record:** UNC Press

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when reference value ends.

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**1.52 UNC-TV Production Records**

Videos produced and purchased by UNC-TV and related documentation. Includes program or package edit masters and pre-selected raw footage audio and visual recordings (b-roll). This series may include but is not limited to: audio and visual recordings, program planning documentation, promotional materials, press kits, and related documentation and correspondence. For contracts, agreements, and leases, refer to "Contracts, Agreements, and Leases Records" above.

**Office of Record:** UNC-TV

**See Also:** Contracts, Agreements, and Leases Records; Media Equipment and Production Records

**Disposition Instructions:**

- a. Permanent for promotional materials and press-kits. Transfer to the custody of University Archives 5 years after end of program, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b. For audio and visual recordings produced by UNC-TV, contact University Archives to make an evaluation of edit masters and raw footage available for transfer to University Archives when administrative value has ended before erasing/destroying edit masters and raw footage of locally produced video previously selected for long-term retention by UNC-TV staff.
- c. For Broadcast (Air Checks) Tapes, erase/destroy in office videos in tape and/or digital formats after 31 days.
- d. Destroy in office video files purchased or co-produced by UNC-TV according to contract requirements or instructions from the copyright owner.
- e. Destroy in office remaining records 5 years after end of program, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**1.53 University of North Carolina Policy Manual Records**

Records documenting UNC System Office policies, regulations, and guidelines for professionalism, ethics, and operations. This series may include but is not limited to: draft and final copies of the Policy Manual (including *The Code*), supporting documentation, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for final copy of Policy Manual. Transfer to the custody of University Archives when superseded or obsolete.
- b. Destroy in office remaining records when reference value ends.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**1.54 Visiting Scholar Program Records**



Records documenting academic programs which allow one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include but is not limited to: advertisements, applicant data, arrangements and schedules, publicity and news clippings, presentation transcripts or published works, documentation (including audio recordings) of scholars' activities, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Permanent for applicant data, publicity, presentation transcripts, and documentation of scholars' activities. Transfer to the custody of University Archives after 3 years.
- b. Destroy in office remaining records after 3 years.

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**1.55 Volunteer and Docent Program Records**

Records documenting the training and management of volunteers and docents. This series may include but is not limited to: meeting minutes, training materials, rosters and contact lists, schedules, and related documentation and correspondence.

**See Also:** Visiting Scholar, Intern, Fellow, and Volunteer Records

**Disposition Instructions:**

- a. Permanent for reports, meeting minutes, and rosters of volunteers. Transfer records to the custody of University Archives after 5 years.
- b. Destroy remaining records in office after 5 years.

## 2. Curriculum and Instruction Records

### 2.1 Class Schedules

Records documenting the formulation of class schedules by academic units for inclusion in schedule of classes. This series may include but is not limited to: the final edition of the schedule of classes, requests from units for class offerings, deviation from schedule forms, course schedule maintenance forms, requests for class changes, working papers, and related documentation and correspondence.

**Office of Record:** Office of the University Registrar, School of Medicine Registrar, and Center for Continuing Education.

**Disposition Instructions:**

- a. Permanent for official copy of schedule of classes. Transfer to the custody of University Archives when reference value ends.
- b. Destroy in office any remaining records after 1 year.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

### 2.3 Course Development and Proposal Records

Records documenting the development of courses and curricula for units. This series may include but is not limited to: course descriptions, course materials, justifications, projected schedules, committee minutes, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of the University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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## **2.4 Course Listings Records**

Records documenting courses currently offered by units and concerning course listings. This series may include but is not limited to: permanent record of courses, course schedules, enrollment numbers, and related documentation and correspondence.

**Office of Record:** Office of the University Registrar.

### **Disposition Instructions:**

- a. Permanent for permanent record of courses. Transfer to the custody of University Archives after 5 years
- b. Destroy in office remaining records when reference value ends.

## **2.5 Distance Education Records**

Records documenting the development and implementation of distance education programs. This series may include but is not limited to: reports, procedure directives, policies, budgets, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

## **2.6 International Student Program Records**

Records documenting the administration and participation in international programs by UNC system schools. This series may include but is not limited to: system memoranda of understanding and international agreements with institutions of higher education and research in other countries signed by the UNC President on behalf of all the campuses, reports, statistical data, and related documentation and correspondence.

**Note:** This series does not include individual student participation in programs.

### **Disposition Instructions:**

- a. Permanent. Transfer memorandum of understanding and international agreements to the custody of University Archives upon expiration and when reference value ends.
- b. Permanent. Transfer remaining records to the custody of University Archives after 5 years and when reference value ends.

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**2.7 Media Equipment and Production Records**

Records documenting the purchase, receipt, and subsequent scheduling and distribution of media productions and/or equipment. This series may include but is not limited to: equipment requests, letters of permission to use copyrighted materials, distribution schedules, and related documentation and correspondence.

**Disposition Instructions:**

- a. Destroy in office 5 years after expiration of all rights and obligations provided for by the agreement, including those surviving termination of the agreement, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b. For sealed agreements, destroy in office 10 years after expiration of all rights and obligations provided for by the agreement, including those surviving termination of the agreement, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**2.8 New Degree Proposal Records**

Records documenting new degree offerings proposed under schools and programs. This series may include but is not limited to: proposals, descriptions, justifications, projected schedules, and related documentation and correspondence.

**Office of Record:** The Division of Academic Affairs (the UNC System Office) retains the official requests for new degree programs.

**Disposition Instructions:**

- a. Permanent for proposals. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office remaining records when reference value ends.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**2.9 Non-Academic Program and Course Registration Records**

Records documenting the proposal of non-academic programs or course offerings, such as special instructional and support courses offered to University employees and community members, and registration of participants in non-academic programs or course offerings. This series may include but is not limited to: proposals, participant registration forms, receipts for payments, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for program proposals. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office course registration records 1 year after completion of program.

**2.10 Program Records (Historical)**

Records documenting programs historically offered by the unit. This series may include but is not limited to: program proposals, descriptions, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 10 years.

**2.11 Syllabi and Outlines Records**

Records documenting each course taught by the unit. This series may include but is not limited to: draft and final copies of course syllabi and outlines, and related documentation and correspondence.

**Office of Record:** the schools, departments, or units.

**Disposition Instructions:**

- a. Retain in office final, submitted syllabi and outlines for at least 4 years. Destroy in office when reference value ends.
- b. Destroy in office remaining records when reference value ends.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.



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**2.12 Textbook Request and Order Records**

Records documenting requests and orders for textbooks and other reference materials. This series may include but is not limited to: orders, request forms, and related documentation and correspondence.

**Office of Record:** Student Stores, Textbook Department.

**Disposition Instructions:** Destroy in office after released from all audits.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 closed fiscal years.

## 3. Development and Alumni Records

### 3.1 Alumni Association Records

Records documenting the University's and individual units' alumni associations. This series may include but is not limited to: publications, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years, or when reference value ends.

### 3.2 Alumni Lists

Lists of names, addresses, phone numbers, and other contact information of University alumni. This series may include but is not limited to: lists.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

### 3.3 Annual Giving Fund Records



Records documenting the actions of the University's annual giving fund. This series includes but is not limited to: reports, financial records, brochures, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 105-259, G.S. 153A-148.1, and G.S. 160A-208.1 regarding confidentiality of records.

**Disposition Instructions:**

- a. Destroy in office financial records after 3 closed fiscal years and when released from all audits.
- b. Permanent. Transfer remaining records to the custody of University Archives after 5 years, or when reference value ends.

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### **3.4 Capital Campaign Records**



Records documenting the actions of University capital campaigns. This series includes but is not limited to: reports, financial records, brochures, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 105-259, G.S. 153A-148.1 and G.S. 160A-208.1 regarding confidentiality of records.

**Disposition Instructions:**

- a. Destroy in office financial records 3 closed fiscal years after campaign ends.
- b. Permanent for remaining records. Transfer records to the custody of University Archives after campaign ends.

### **3.5 Donor and Prospect Records**



Records documenting information on individual donors and prospective donors. This series may include but is not limited to: files on donors and prospects that contain contact information, fund names, fund numbers, biographical data, financial data, scholarship or endowment documentation, notes, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 105-259, G.S. 153A-148.1, and G.S. 160A-208.1 regarding confidentiality of records.

**Disposition Instructions:** Destroy in office when reference value ends.

### **3.6 Foundation and Endowment Records**



Records documenting private sources of funding at the University. This series may include but is not limited to: financial reports, legal contracts, agreements, lists, funding source descriptions, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of legal agreements regarding confidentiality concerning each gift.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

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### **3.7 Friends Records**

Records documenting the efforts of special interest support groups to establish relationships with community agencies, individuals, businesses, and groups to gain their assistance with the development and coordination of institutional programs. This series may include but is not limited to: establishing documents, bylaws, reports, brochures, newsletters, publications, meeting agendas, minutes, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives when reference value ends.

### **3.8 Gifts-in-Kind Records**



Records documenting gifts-in-kind to the University. This series may include but is not limited to: gifts, fund, date, amount, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of legal agreements regarding confidentiality concerning each gift.

**Disposition Instructions:** Destroy in office when reference value ends.

### **3.9 Individual Fund Balances Records**

Records documenting the administration and management of individual funds. This series may include, but is not limited to: reports, statement of changes, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when reference value ends.

### **3.10 Investment Management Reports**

Records documenting the actions of money managers on funds invested and held on behalf of University development. This series may include but is not limited to: monthly, quarterly, and annual reports.

**Disposition Instructions:** Destroy in office 3 years after publication.

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**3.11 Life Income Agreements Records**



Records documenting the life income of endowment donors. This series may include but is not limited to: legal records, reconciliation reports, annuities, trusts, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 105-259, G.S. 160A-208.1 regarding confidentiality of records.

**Disposition Instructions:**

Permanent. Transfer records to the custody of University Archives when agreement becomes inactive or when reference value ends.

**3.12 Major and Planned Gifts Records**



Records documenting the coordination of gifts and giving policies. This series may include but is not limited to: reports, financial records, acceptance policies, legal opinions, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 105-259 and G.S. 160A-208.1 regarding confidentiality of records.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when reference value ends.

**3.13 Trust, Endowment, and Annuity Funds Records**

Records documenting the administration and management of University trust, endowment, and annuity funds. This series may include but is not limited to: reports, statements, and related documentation and correspondence.

**Disposition Instructions:** Retain in office permanently.

## 4. Facilities Records

### 4.1 Air Emissions and Wastewater Records

Records documenting air emissions permits and inventory, and wastewater National Pollutant Discharge Elimination System (NPDES) permits. This series may include but is not limited to: inventories, reports, permits, and related documentation and correspondence.

**Office of Record:** Department Environment, Health and Safety

**Disposition Instructions:**

- a. Retain licenses and permits in office until superseded or obsolete.
- b. Destroy in office remaining records when superseded or obsolete.

### 4.2 Blueprints, Plans, and Drawings Records



Records documenting the planning and construction of University buildings. This series may include but is not limited to: as-built drawings, floor plans, and surveys; property maps; renovation plans; building plans; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

**Office of Record:** Facilities Planning and Construction

**Disposition Instructions:** Permanent.

- a. Transfer electronic copy of as-built drawings, blueprints, and floor plans to the custody of University Archives upon completion of the project.
- b. Transfer hard copy of as-built drawings, blueprints, and floor plans to the custody of University Archives when reference value ends.
- c. Transfer remaining records to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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#### **4.3 Building Energy Profiles Records**

Records documenting the energy profiles of campus buildings. This series may include but is not limited to: data, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 years or when reference value ends.

#### **4.4 Building Records**



Records documenting the planning, construction, maintenance, and renovation of University buildings. This series may include but is not limited to: preconstruction notes; planning and construction layouts; sketches; floor plans and specifications; reports; records pertaining to repairs, maintenance, and renovations; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

**Note:** Does not include UNC Hospital Buildings.

**See Also:** Contracts, Agreements, and Leases, Capital Improvement Records, Non-Capital Improvement Records

**Disposition Instructions:**

- a. Permanent for layouts; floor plans and sketches; correspondence; reports; and specifications used for building planning, construction, and renovation. Transfer to the custody of University Archives when reference value ends.
- b. Destroy in office building maintenance records after 6 years.

#### **4.5 Building Reserve Records**

Records documenting budget requests for day-to-day maintenance on individual campus buildings submitted to the State Legislature for approval and funding. This series may include but is not limited to: budgetary analysis, and related documentation and correspondence.

**Disposition Instructions:**

- a. Transfer funding schedules and related records to Building Records series when approved.
- b. Destroy in office remaining records when reference value ends.

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#### **4.6 Building Use Records**



Records documenting the use of campus facilities. This series may include but is not limited to: summaries of building usage, reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

#### **4.7 Capital Improvement Proposals**



Proposals submitted by architects for new capital improvements on campus. Capital projects are defined as projects larger than \$300,000. This series may include but is not limited to: proposals, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

**Disposition Instructions:**

- a. Transfer successful proposals to the appropriate Capital Improvements Records series after the contract is awarded.
- b. Destroy unsuccessful proposals after 2 years, 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.



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#### **4.8 Capital Improvement Records**



Records documenting capital improvements on campus. Capital projects are defined as projects larger than \$300,000. This series may include but is not limited to: plans, reports, and related documentation and correspondence.

**See Also:** Capital Improvements Accounting Records

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 10 years.

#### **4.9 Clean Air Act Records**

Records documenting University efforts to comply with Clean Air Act regulations and standards, and obtain Title V operating permits. This series may include but is not limited to: reports, applications, permits, and related documentation and correspondence.

**Disposition Instructions:**

- a. permanent for applications and permits. Retain in office permanently.
- c. Destroy in office remaining records 5 years after date permit issued.

#### **4.10 Elevator Work Records**

Records documenting the maintenance of University elevators. This series may include but is not limited to: work orders, completed service call sheets, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 5 years after completion of work, 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.

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**4.11 Energy Conservation Records**

Records documenting measures undertaken by the University to conserve energy. This series may include but is not limited to: inspection reports, plans, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 15 fiscal years.

**4.12 Energy Studies Records**

Records documenting the University's studies of alternative energy sources. This series may include but is not limited to: wind studies, municipal solid waste studies, torrefied wood studies, alternative/renewable fuels studies, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 years.

**4.13 Housekeeping Records**



Records documenting daily housekeeping activities. This series may include but is not limited to: work schedules, logs, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 1 year after work completed, 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.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends, 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.

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#### **4.14 Maintenance Services Records**

Records documenting facility maintenance services conducted for units. This series may include but is not limited to: maintenance reports, work orders, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 6 years after work is completed, 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.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office 2 years after work is completed, 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.

#### **4.15 Non-Capital Improvements Records**



Records concerning the repair and renovations of existing facilities. Non-capital improvements projects are defined as projects less than \$300,000. This series may include but is not limited to: accounting records, plans, reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

**Disposition Instructions:** Destroy in office 5 years after completion or termination of project, 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.

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**4.16 Pest Control Records**

Records documenting pest control methods used in University owned buildings. This series may include but is not limited to: work orders, completed service call sheets, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 5 years after completion of work, 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.

**4.17 Property / Real Estate Records**

Records documenting real estate owned, sold, swapped, and transferred by or to the University. This series may include but is not limited to: leases, deeds, construction records, insurance records, tax evaluations, maps, surveys, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives upon disposal of property.

**4.18 Rate Records**

Records documenting the management and administration of Facilities Services recharge rates. This series may include but is not limited to: summaries of labor rates, comparative studies, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 years.

**4.19 Recycling Work Orders**

Records documenting recycling services. This series may include but is not limited to: work orders, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 1 year.

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**4.20 Stream Restoration Reports**

Reports documenting stream restoration projects.

**Note:** Comply with applicable requirements of the NC Department of Environmental Quality and the U.S. Environmental Protection Agency.

**Disposition Instructions:** Destroy in office 5 years after project completion, if no litigation, claim, audit or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**4.21 Supplies and Equipment Records**

Records (including reference copies) documenting supplies and equipment used by units. This series may include but is not limited to: operating manuals, inventories, warranties, accounting statements, and related documentation and correspondence.

**Disposition Instructions:**

- a. Transfer operating manuals to Materials Support Department, Materials Management and Distribution Division, Surplus Property Office when equipment is sent to surplus.
- b. Destroy in office warranties and inventories when superseded or obsolete.
- c. Destroy in office remaining records after equipment is sent to surplus and after released from all audits.

**4.22 Surplus Property Records**

Records documenting the disposal of surplus property. This series may include but is not limited to: inventories, disposal logs, forms, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 3 years after property disposal, 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.

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**4.23 Utility Bills and Logs Records**

Records documenting utilities usage. This series may include but is not limited to: logs, bills, and related documentation and correspondence.

**See Also:** Telephone Billing Records

**Disposition Instructions:** Destroy in office after 1 closed fiscal year, 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.

**4.24 Utility Contracts Records**

Records documenting utility contracts. This series may include but is not limited to: contracts, and related documentation and correspondence.

**Disposition Instructions:**

- a. Transfer final contracts to the custody of University Archives after 5 years after the expiration of the contract if no litigation, claim, audit, or other official action involving the records has been initiated.
- b. Destroy in office remaining records 5 years after the expiration of the contract if no litigation, claim, audit, or other official action involving the records has been initiated.

**4.25 Work Orders Records**

Records documenting requests for services or repairs. This series may include but is not limited to: work orders, service tickets, estimates, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 1 year after completion of work.

## 5. Financial Records

### 5.1 Account Adjustment Records



Records documenting account adjustments to campus health (student) patient accounts. This series may include but is not limited to: adjustment authorization, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.10 regarding confidentiality of social security numbers and 42 U.S.C. 1320d-2(d)(2) (HIPAA) regarding confidentiality of patient-related medical records and personal information. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Note:** This schedule does not manage UNC Hospital records. The Schools of Medicine and Dentistry manage patient files at their clinics.

**Disposition Instructions:** Destroy in office 6 years after date of transaction, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

### 5.2 Accounts Payable Records

Records documenting the status of accounts in which the University owes money to firms or individuals. This series may include but is not limited to: statements, invoices, purchase orders, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 years.

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**5.3 Accounts Receivable and Cash Receipts Records**

Records documenting payment and status of accounts in which money is owed to the University by firms or individuals. This series may include but is not limited to: purchase orders, checks received for repayment, school refunds, lender claim repurchases and refunds, insufficient funds notices, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 years.

**5.4 Accounts Uncollectible Records**

Records documenting the status of accounts in which money cannot be collected. This series may include but is not limited to: reports and related documentation and correspondence.

**Disposition Instructions:** For any uncollectible receivable of more than \$25.00 that has been written off, a summary level record of the accounts sufficient to substantiate the debt is to be retained indefinitely or until the debt has been collected or discharged. For uncollectible receivables of \$25.00 or less that have been written off, such records must be retained for two years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 years.



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**5.5 Annual Accounting and Reporting Records (State Education Assistance Authority (SEAA))**

Records documenting the reconciliation of accounts related to student aid programs administered by the SEAA. This series may include but is not limited to: accounting system reports, external audit report records, comprehensive annual financial reports, financial record system transactions, bond statements, internal and external reports, and related documentation and correspondence.

**Office of Record:** State Education Assistance Authority

**Disposition Instructions:** Destroy in office after 5 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 years.

**5.6 Annual Financial Statement and Report**

The annual financial statement and report for the University. This series may include but is not limited to: annual statements and reports.

**Disposition Instructions:** Permanent. Retain a copy in Office of the University Controller permanently. Transfer a copy to the custody of University Archives upon publication.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**5.7 Bank Statements**

Bank statements documenting the status of University accounts. This series may include but is not limited to: statements.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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### **5.8 Bids Records**



Records documenting the purchase of equipment, supplies, or services. This series may include but is not limited to: price quotes, applications, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 143-52, 143-53 and 01 NCAC 05B .0103 regarding confidentiality of bids.

**Disposition Instructions:**

- a. Destroy in office unsuccessful bids after 5 closed fiscal years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b. Destroy in office successful bids 5 years after expiration of the related contract, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

### **5.9 Bond Book Records**

Records documenting deposits and withdrawals on bonds held by the University. This series may include but is not limited to: bond agreements, deposits, withdrawals, statements, reconciliations, and related documentation and correspondence.

**Disposition Instructions:** 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.

### **5.10 Bonds and Other Borrowing Records**

Records documenting the borrowing actions of the University. This series may include but is not limited to: bond indentures, legal documents, swap agreements, payment schedules, annual audits, arbitrage audits, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 1 closed fiscal year after last payment and when released from all audits.

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**5.11 Budget Records**

Records documenting the preparation and submission of the University's official budget. This series may include but is not limited to: official budget reports; research data, analyses, and reports; requests; forms; briefs; worksheets; resolutions; revisions; and related documentation and correspondence.

**Office of Record:** Budget Office

**Disposition Instructions:**

- a. Permanent for official budget reports. Transfer 1 copy of official budget report to the custody of University Archives upon completion.
- b. Destroy in office remaining records after 3 closed fiscal years and when released from all audits.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 3 closed fiscal years.

**5.12 Cancelled Checks**

Cancelled checks paid by the University.

**Disposition Instructions:** Destroy in office after 7 closed fiscal years and when released from all audits.

**5.13 Capital Improvements Accounting Records**

Records documenting capital improvement project budgets and accounting. Capital improvements projects are defined by the University as projects larger than \$300,000. This series may include but is not limited to: accounting and financial records, vouchers, checks, purchase orders, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 6 closed fiscal years after project is completed and when released from all audits.

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**5.14 Cost Accounting Reports Records**

Records documenting cost accounting for University expenditures. This series may include but is not limited to: completed cost accounting reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years and when released from all audits.

**5.15 Credit Card and Purchase Card Use Records**



Records documenting the use and ownership of credit cards and purchase cards by University employees and units. This series may include but is not limited to: receipts, statements, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S.132-1.2 (2), G.S. 132-1.10, and 5 U.S.C. 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personally identifying information.

**Disposition Instructions:** Destroy in office after 3 years if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 closed fiscal years.

**5.16 Custodian Investment Reports Records**

Records documenting and reporting on investment performance. This series may include but is not limited to: monthly reports, investment activity summaries, working papers, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when reference value ends.

**5.17 Deposits Records**

Records documenting deposits made by the University. This series may include but is not limited to: deposit slips, cash register slips, receipts, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years and when released from all audits.

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**5.18 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.

**Disposition Instructions:** Destroy in office after 7 closed fiscal years and when released from all audits.

**5.19 Emergency Loan Records**

Records documenting requests and the approval and administration of emergency loans through the Office of Human Resources. This series may include but is not limited to: request and authorization forms, checklists, records of repayment, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 1 year after request approved.

**5.20 Escheats Statements Records**

Records documenting escheated funds reverting to the State of North Carolina and credited to the State Treasurer. This series may include but is not limited to: statements, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 10 closed fiscal years.

**5.21 Financial Records System (database)**

The financial and budget information system shared by all University departments that is used to track revenue and expenditures, and create financial reports.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years and when released from all audits.

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**5.22 Financial Systems Access Request Records**

Records documenting requests to update or new requests for financial systems access by units on campus. This series may include but is not limited to: access request forms, update forms, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office upon verification of employee separation from UNC employment and when released from all audits.

**5.23 Fines Appeal Records**



Records documenting the appeals process for fines. This series may include but is not limited to: appeals, resolutions, and related documentation and correspondence.

**Confidentiality:** Comply with provisions of the U.S. Privacy Act of 1974, 5 U.S.C. § 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of G.S. 75-66 regarding the publication of personal information.

**Disposition Instructions:** Destroy in office 2 years after final resolution of appeal.

**5.24 Fines Receipts**



Receipts for fine payments.

**Confidentiality:** Comply with provisions of the U.S. Privacy Act of 1974, 5 U.S.C. § 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of G.S. 75-66 regarding the publication of personal information.

**Disposition Instructions:** Destroy in office 6 months after entry into online tracking system.

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**5.25 Fixed Assets Records**

Records documenting the fixed assets of the University. This series may include but is not limited to: inventories, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 years and when released from all audits.

**5.26 General Fund Records**

Records documenting the administration and management of the General Fund. This series may include but is not limited to: accounting statements, budgetary reports, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives 5 years after release from all audits.

**5.27 Monthly Budget Reports**

Reports and related records documenting the monthly budgeting process.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years.

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**5.28 Payment Card Third Party Use Records**

Records created in association with payment card and electronic fund transfer (EFT) transactions entered by third parties for the purchase of goods or services from the University. This series may include (but is not limited to): agreements, correspondence, statements, transaction receipts, order forms and related documentation.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.2(2) and 132-1.10 regarding confidentiality of payment card and other account information. Comply with applicable provisions of G.S. 75-66 regarding the publication of personal information.

**Note:** Comply with the University's Information Security Policy and Finance Division Policy 308.

**Disposition Instructions:**

- a. Destroy or delete credit card numbers once they have been processed.
- b. Destroy in office remaining records when released from legal, regulatory, and business requirements or after 3 closed fiscal years, whichever is later, if no litigation, claim, audit, or 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.

**5.29 Receipts Records**

Records documenting amounts received by units from various sources. This series may include but is not limited to: ledgers, receipt books, and related documentation and correspondence.

**Office of Record:** Controller's Office (Accounting Services, Cash Management Office).

**Disposition Instructions:** Destroy in office after 5 years and when released from all audits.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 closed fiscal years.



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**5.30 Reconciliation Records**

Records documenting the process of account reconciliation. This series may include but is not limited to: reports listing all outstanding checks or warrants, procedural documentation, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years and when released from all audits.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 1 closed fiscal year.

**5.31 Returned Checks Records**

Records documenting checks written to the University returned for insufficient funds. This series may include but is not limited to: returned checks, and related documentation and correspondence.

**Disposition Instructions:** 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.

**5.32 Reversion and Continuation of Agency Funds Records**

Records documenting the return of funds to the state. This series may include but is not limited to: line items, budget records, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 2 closed fiscal years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office remaining records after 1 year.

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**5.33 Sales and Use Tax Records**

Records documenting the collection of sales and use taxes by the University. This series may include but is not limited to: reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 closed fiscal years and when released from all audits.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office remaining records after 1 year.

**5.34 Sponsored Project Accounting and Finance Records (Payable / Receivable)**

Records documenting accounts payable, accounts receivable, inventories, and general accounting of sponsored projects at the University. This series may include but is not limited to: purchase requisitions, purchase orders, invoices, account ledgers, receipts, financial reports, and related documentation and correspondence.

**Office of Record:** Accounting Services and Strategic Sourcing and Payment Services. The Office of Sponsored Research maintains the official sponsored project records from which agency review and audits are initiated.

**See Also:** Sponsored Project Records, Awarded.

**Note:** This series does not include payroll related records.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 based on record retention requirements of the sponsored project's terms and conditions, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved, but only after the time period specified in the corresponding sponsored project's terms and conditions has lapsed. If the records relate to activities covered under HIPAA, retain for a period of six years from last activity.

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**5.35 Student Account Correspondence Records**



Records documenting miscellaneous student account activities. This series may include but is not limited to: returned checks, Family Educational Rights and Privacy Act (FERPA) release forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 7 closed fiscal years and when released from all audits.

**5.36 Student Accounts Records**

Records documenting individual student accounts. This series may include but is not limited to: adjustments of tuition fees, refunds, outstanding fees for damaged or overdue books, records of payments or other credits, statements of charges, and related documentation and correspondence.

**See Also:** Accounts Uncollectible; Student—Financial Aid Records section.

**Disposition Instructions:**

- a. Destroy in office records concerning settled accounts when released from all audits.
- b. Transfer records of accounts declared uncollectible to Accounts Uncollectible Records.

**5.37 Tax Returns**

Signed tax returns filed by the University.

**Disposition Instructions:** Retain in office permanently.

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### **5.38 Telephone Billing Records**



Records documenting telephone billing within University units. This series may include but is not limited to: record copies of monthly telephone bills, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 3 years and when released from all audits, if no litigation, claim, audit, or 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.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 closed fiscal years.

### **5.39 Transfer of Funds Records**

Records documenting the transfer of funds. This series may include but is not limited to: requisition forms, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years and when released from all audits.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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#### **5.40 Travel Requests and Reimbursement Records**



Records documenting travel requests made by and reimbursements paid to University employees and affiliates. This series may include but is not limited to: requests for reimbursement, authorizations, receipts, documentation of payments, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 5 U.S.C. 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of G.S. 75-66 regarding the publication of personal information.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years and when released from all audits, litigation, claim, audits or other official action, unless the travel was funded by an external project, in which case, destroy in office according to the records retention requirements in the sponsored projects terms and conditions.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 closed fiscal years.

#### **5.41 Vendor Information Records**

Records documenting marketing information from outside vendors. This series may include but is not limited to: catalogs, brochures, price lists, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when reference value ends.

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**5.42 Vouchers Records**

Records documenting intended payments to external entities, as well as intended account adjustments. This series may include but is not limited to: vouchers, documentation of disbursements, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 closed fiscal years and when released from all audits.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 closed fiscal years.

## 6. Information Technology Records

### 6.1 Application Development Project Records



Records documenting the development, redesign, or modification of an automated system or application. This series may include but is not limited to: project management files, status reports, drafts, specifications, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office 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.

### 6.2 Application System Operations Records



Records documenting and describing how an application system operates. This series may include but is not limited to: flowcharts, program descriptions, documentation, user's guides, specifications, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** 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.

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### **6.3 Audit Trail Records**



Records documenting 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. This series may include but is not limited to: data processing logs, use records, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office when reference value ends if no litigation, claim, audit, or 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

### **6.4 Automated Off-Line Storage System Records**



Records documenting automated off-line storage systems used by University units. This series may include but is not limited to: lists of backup tapes, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office after related records or media are destroyed or withdrawn from the media library.



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## **6.5 Computer Security Incident Records**



Records documenting 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. This series may include but is not limited to: reports, logs, extracts, compilations of data, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding the confidentiality of computer related records and security features of computer or other information technology systems.

### **Disposition Instructions:**

- a. Destroy in office finalized cyber incident reports 5 years after incident is resolved.
- b. Destroy in office remaining records after 10 days.

## **6.6 Computer System Review Records**



Records documenting the maintenance and security of computer systems. This series may include but is not limited to: firewall logs, system auditing logs, reports, reviews, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) and 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)). Comply with applicable provisions of G.S. 132-6.1(c) regarding the confidentiality of computer related records and security features of computer or other information technology systems.

### **Disposition Instructions:**

- a. Destroy in office computer reports and logs when review report is completed.
- b. Destroy in office review report and supporting data after 3 years.

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**6.7 Computer Usage Records**



Records documenting and used to monitor computer system usage. This series may include but is not limited to: log-in files, system usage, charge backs, data entry logs, security logs, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** 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 in office after completion of action and resolution of issues involved.

**6.8 Computing Site, Equipment, and Software Support Records**

Records documenting the support and service to computing sites, equipment, and software. This series may include but is not limited to: support service records, site visit reports, program reports, equipment service reports, and service history correspondence, and related documentation and correspondence.

**Disposition Instructions:**

- a. Destroy in office service histories and other summary records when superseded or obsolete.
- b. Destroy in office remaining records after 3 years.

**6.9 Disaster Preparedness and Recovery Planning Records**



Records documenting a unit's disaster preparedness and recovery plan. This series may include but is not limited to: policies and procedural documents, draft and final copies of disaster plans, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

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#### **6.10 Help Desk Records**



Records documenting requests for support of University computer systems, hardware, and software, and resulting actions. This series may include but is not limited to: requests, logs, reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office after 2 years.

#### **6.11 Internet Service Logs (External)**



Logs used to monitor access and use of services provided via the Internet. This series may include but is not limited to: website logs, mail server logs, FTP logs, Telnet logs, and antivirus/anti-spam mail service logs.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** 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.

#### **6.12 Metadata Documentation Records**



Records documenting the development and/or modification of, and the access, retrieval, manipulation and interpretation of data in an automated system. This series may include but is not limited to: data dictionaries, file layouts, code books, data element definitions, data structures, file layout, reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** 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.

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**6.13 Network Implementation Project Records**



Records documenting the planning and implementation of information networks. This series may include but is not limited to: reports, justifications, working diagrams, wiring schematics, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**6.14 Network Installation and Service Records**



Records documenting the installation of, and service and support for information networks. This series may include but is not limited to: work orders, work schedules, building and circuit diagrams, site visit reports, trouble reports, service history, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:**

- a. Destroy in office service histories and other summary records when superseded or obsolete.
- b. Destroy in office remaining records 3 years after completion of work.

**6.15 Network Inventory Records**



Records documenting inventories made of information networks. This series may include but is not limited to: circuit number, vendor, cost per month, type of connection, terminal series, software, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

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**6.16 Network Usage Records**



Records documenting usage of internal information networks. This series may include but is not limited to: monitor network usage, log-in files, system usage files, reports, firewall logs, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems..

**Disposition Instructions:** 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.

**6.17 Off-Line Storage Control Records**



Records documenting the management of off-line storage, including backup tapes stored on and off-site. This series may include but is not limited to: policies, procedures, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**6.18 Operating System and Hardware Conversion Planning Records**



Records documenting the replacement of equipment or computer operating systems that support the creation of non-permanent records. This series may include but is not limited to: planning documents, schedules, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office 1 year after completion of conversion.

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**6.19 Quality Assurance Records**



Records documenting applications and systems development procedures and products adherence to established policies, processes, architectures, deliverables, performance metrics, budgetary allocations and deadlines. This series may include but is not limited to: reviews, assessments, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office 3 years after source code is upgraded or becomes obsolete, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**6.20 Summary Usage Reports**



Summary reports documenting computer usage for reporting or cost recovery purposes.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office after 4 years, if no litigation, claim, audit, or 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.

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### **6.21 System Backup Records**



Records documenting backup plans and system restoration. This series may include but is not limited to: copies of master files or databases, application software, logs, directories needed to restore a system in case of a disaster or inadvertent destruction, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

#### **Disposition Instructions:**

- a. Destroy in office in accordance with your unit's established backup plan and procedures. See Security Backup Files as Public Records in North Carolina: Guidelines for the Recycling, Destruction, Erasure and Re-Use of Security Backup Files, at <http://archives.ncdcr.gov>
- b. 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.

### **6.22 System User Access Records**



Records documenting and/or used to monitor individual access to a system and its data. This series may include but is not limited to: user account records, access requests, authorizations, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office after user is withdrawn from system and when reference value ends, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**6.23 System Validation Records**



Records documenting and/or used to update transactions in a database or master file. This series may include but is not limited to: logs, update files, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of GS 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office when reference value ends.

**6.24 Technical Program Documentation Records**



Records documenting the creation, management, and use of technical programs. This series may include but is not limited to: program code, program flowcharts, program maintenance log, system change notices, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-6.1(c) regarding confidentiality of computer-related records and security features of computer or other information technology systems.

**Disposition Instructions:** Destroy in office 1 year after program is superseded or obsolete, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.



## 7. Institutional Services Records

### 7.1 Bicycle Registration Records

Records documenting the registration of bicycles on campus. This series may include but is not limited to: registration cards completed by students, faculty, and staff for use of bicycles on campus; campus bicycle permits and licenses; and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 2 years after superseded or revoked.

### 7.2 Child and Youth Program Participant Records



Records documenting the participation of children and youth in programs sponsored by the institution. This series may include but is not limited to: applications, enrollment records, progress reports and assessments, immunization records, parental consent forms, activity records, lists of attendees, related documentation and correspondence.

**Confidentiality:** 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records.

**Disposition Instructions:** Destroy in office after 3 years.

### 7.3 Child Care Facility License Records

Records documenting the licensing of school child care facilities by official licensing agencies. This series may include but is not limited to: reports, applications, licenses, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 2 years after superseded, if no litigation, claim, audit, or official action involving the files has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**7.4 Commuter Information Records**

Records documenting information designed for students, faculty, and staff commuting to and from campus. This series may include but is not limited to: articles, brochures, newsletter, surveys, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for annual reports, University publications, and documentation related to the development of the program. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office remaining records after 5 years.

**7.5 Key Issuance Records**

Records documenting key assignments and deposits (if applicable) for institutional faculty, staff, students, and others using the institution's facilities. This series may include but is not limited to: assignment lists, receipts of issuance, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 1 year after key is checked in.

**7.6 Locker Assignment Records.**

Records concerning assignment of lockers within the school. File includes listing of assignments, lock information, and other related records.

**Disposition Instructions:** Destroy records in office 1 year after assignment ends.

**7.7 Lost and Found Logs**

Logs of property lost and found kept by individual units.

**Disposition Instructions:** Destroy in office after 3 years.

**7.8 Mail Services Records**

Records documenting mail services at the University. This series may include but is not limited to: information regarding certified mail, express mail, insurance, commercial carriers, campus requisitions, returned shipments, postage authorizations, and theses.

**Disposition Instructions:** Destroy in office after 3 years.

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**7.9 Sanitation Records**

Records documenting the inspection and tracking of sanitation standards of facilities such as swimming pools, food courts, day-care food services, commissaries, and warehouses. This series may include but is not limited to: inspection notices and reports, service schedules, logs, certifications, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 6 years.

**7.10 Vehicle Operations and Maintenance Records**

Records documenting the use and maintenance of University owned vehicles. This series may include but is not limited to: request forms, vehicle inspection reports, vehicle accident reports, mileage logs, maintenance schedules, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office request forms and mileage logs after 3 years. Destroy in office remaining records upon disposition of vehicle.

**7.11 Vehicle Registration Records**

Records documenting state-owned vehicles registered for use by UNC employees and units. This series may include but is not limited to: motorized vehicle registrations, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when reference value ends.

**7.12 Vehicle Titles**

Vehicle titles for University owned vehicles.

**Disposition Instructions:** Dispose of in accordance with instructions by N.C. Department of Administration, State Surplus Property Office/Motor Fleet Office upon disposition of vehicle.

## 8. Intercollegiate Athletics Records

### 8.1 Athletics Department Records

Records documenting the administration and management of the Department of Athletics. This series may include but is not limited to: reports, memoranda, and related documentation and correspondence.

**Note:** Does not include legal actions and/or litigation involving the Athletics Department.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

### 8.2 Athletics Drug Testing Records



Records documenting drug testing of student-athletes. This series may include but is not limited to: lab reports, interpretations, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) and National Collegiate Athletic Association (NCAA) rules and regulations.

**Disposition Instructions:**

- a. Destroy in office negative results after 1 year.
- b. Destroy in office positive results after 6 years or end of eligibility to compete, if no litigation, claim, audit, or official action involving the files has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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### **8.3 Athletics Eligibility Records**



Records documenting eligibility declarations for each student athlete. This series may include but is not limited to: student status, grade, and enrollment reports; and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records and National Collegiate Athletic Association (NCAA) rules and regulations.

**Disposition Instructions:** Destroy in office when reference value ends.

### **8.4 Athletics Injury and Treatment Records**



Records documenting athletic injuries and treatments. This series may include but is not limited to: injury reports, treatment logs, medication logs, medical histories, National Collegiate Athletic Association (NCAA) Injury Surveillance System Individual Injury forms, NCAA Weekly Expose forms, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records and 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of student medical records.

**Disposition Instructions:** 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.

### **8.5 Athletics Scholarship Records**



Records documenting scholarships awarded to student-athletes. This series may include but is not limited to: applications, recommendations, authorization of scholarships, financial statements, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records and National Collegiate Athletic Association (NCAA) rules and regulations.

**Disposition Instructions:** Destroy in office 5 years after graduation or separation.

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**8.6 Athletics Team Travel Itinerary Records**

Records documenting the travel of athletic teams. This series may include but is not limited to: itineraries, rosters, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when reference value ends.

**8.7 Coaches' Records**

Records documenting, created and used during the course of coaching athletic teams at the University. This series may include but is not limited to: scorebooks, playbooks, scouting reports, recruitment information, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for playbooks, scorebooks, and scouting reports. Transfer to the custody of University Archives when reference value ends.
- b. Destroy in office remaining records when reference value ends.

**8.8 Drug Dispensing Records**



Records documenting the dispensing of drugs to student athletes. This series may include but is not limited to: drug dispensing forms and lists, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records, 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of student medical records, and National Collegiate Athletic Association (NCAA) rules and regulations.

**Disposition Instructions:** Destroy in office 3 years after released from all audits.

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### **8.9 Game Contracts Records**



Records documenting contracts for games played by University athletics teams. This series may include but is not limited to: agreements, contracts, and related documentation and correspondence.

**Confidentiality:** Comply with National Collegiate Athletic Association (NCAA) rules and regulations.

**Disposition Instructions:** Destroy in office after 4 years and when released from all audits.

### **8.10 Player Recruitment Records**



Records documenting player recruitment practices at the University. This series may include but is not limited to: scouting reports, list of prospects, recruitment proposals, newsletters, literature, pamphlets, brochures, audiovisual recordings, and related documentation and correspondence.

**Confidentiality:** Comply with National Collegiate Athletic Association (NCAA) rules and regulations. Comply with G.S. 132-1.1 (f) regarding confidentiality of personally identifiable admissions information.

**Disposition Instructions:** Destroy in office when reference value ends, if no litigation, claim, audit, or official action involving the files has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

### **8.11 Receipts from Income Records**

Records documenting income generated from athletics events. This series may include but is not limited to: accounts receivable, gate receipts, advertisements, sponsorships, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 closed fiscal years, if no litigation, claim, audit, or official action involving the files has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**8.12 Season Ticket Records**

Records documenting the assignment of season tickets. This series may include but is not limited to: name of season ticket holder, seat location, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**8.13 Sports Information Records**

Records documenting the marketing of University athletic programs. This series may include but is not limited to: program and student athletic information, schedules, promotional literature, programs, media guides, press releases, calendars of events, photographs, sports statistics, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives upon publication or distribution.

**8.14 Ticket Sales Records**

Records documenting the sale of tickets to University athletic events. This series includes but is not limited to: itemizations, check requests, order invoices, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 closed fiscal years and when released from all audits.



## **9. Library, Museum, and Archives Records**

### **9.1 Accession Records**

Accession records documenting the accession of special collections materials to the library, arranged numerically.

**Disposition Instructions:** Retain permanently in office.

### **9.2 Ackland Art Museum Guild Records**

Records documenting the activities and operations of the Ackland Art Museum Guild. This series may include but is not limited to: meeting minutes, notifications, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

### **9.3 Acquisition Records**

Records documenting the acquisition of books, periodicals, ongoing serials, one time purchases, and other materials. This series may include but is not limited to: purchase orders/requests, cancellation notices, discontinued notices, check-in information, shipping information, and related documentation and correspondence.

**Disposition Instructions:**

- a. Retain material concerning rare publications permanently in office.
- b. Destroy in office records concerning ongoing serials, periodicals, and microfilm copies records 3 years after at termination/cancellation of order or subscription.
- c. Destroy in office records concerning one time purchases and routine acquisitions 1 closed fiscal year after released from all audits.

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**9.4 Approval Plan Records (ILS)**

Records documenting materials received on approval. This series may include but is not limited to: printouts of amount spent, number of books, LC classification, returns notebook, reason returned, ISBN number, copies of approval plan profile, statistical data, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 2 years.

**9.5 Artwork Registration Records**

Records documenting art acquired by the campus museums. This series may include but is not limited to: item descriptions, source documentation, nature of acquisition records, appraisal records, authentications, insurance records, records of conservation treatment, and related documentation and correspondence.

**Disposition Instructions:** Retain in office permanently, or transfer to the custody of University Archives when reference value ends.

**9.6 Binding Patterns and Records**

Records documenting bindery work. This series may include but is not limited to: patterns, templates, instructions, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**9.7 Borrower Applications Records**



Records documenting applications for community or non-UNC affiliated users of the library. This series may include but is not limited to: application forms, and related documentation and correspondence.

**Confidentiality:** Comply with provisions of the U.S. Privacy Act of 1974, 5 U.S.C. § 552a (U.S. Privacy Act of 1974) and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data.

**Disposition Instructions:** Destroy in office one year after expiration or after date of last use.

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**9.8 Card Catalog Records**

Individual catalog cards for holdings not represented in the online catalog.

**Disposition Instructions:** Destroy in office once card information is duplicated in the online system and/or when reference value ends.

**9.9 Carrel Assignments Records**

Records documenting library carrel assignments. This series may include but is not limited to: forms, assignments, lists, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 6 months after termination of contract.

**9.10 Check-In Records for Government Documents**

Records documenting the check-in process for Government Documents. This series may include but is not limited to: packing slips, and related documentation and correspondence.

**Disposition Instructions:**

- a. Maintain according to Federal Depository Library Program (FDLP) regulations.
- b. 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).

**9.11 Collection or Artifact Loan Records**

Records documenting materials temporarily loaned to other units of the University or outside institutions for special exhibits. This series may include but is not limited to: loan negotiations and agreements, insurance, shipping and freight records, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years and when reference value ends.

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**9.12 Conservation Treatment Records**

Records documenting research and implementation of conservation treatments for items in library collections. This series may include but is not limited to: reports, research, notes, photographs, images, and related documentation and correspondence.

**Disposition Instructions:** Retain in office permanently or transfer to the custody of University Archives when reference value ends.

**9.13 Control Records**

Records documenting gifts, purchases, and materials acquired by or transferred to Special Collections, and additional records relating to reference use of collections by patrons. This series may include but is not limited to: deeds of gifts, purchase agreements, publications, finding aids, transfer or transmittal forms, patron use of collection records, and related documentation and correspondence.

**Disposition Instructions:** Retain in office permanently, or transfer to the custody of University Archives when reference value ends.

**9.14 Copyright Records (Permissions)**

Records documenting permission requested and received for use of copyrighted material for courses or other educational purposes. This series may include but is not limited to: request, receipts, invoices, and related documentation and correspondence.

**Disposition Instructions:**

- a. Destroy in office granted permissions 5 years after expiration of permission.
- b. Destroy in office rejected permissions after 1 year.

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**9.15 Duplication Requests**

Records documenting all duplication requests for Special Collections materials. This series may include but is not limited to: duplication requests and correspondence.

**Disposition Instructions:**

- a. Destroy in office duplication requests for personal research use after 5 years and when released from all audits.
- b. Destroy in office duplication requests for publication after 20 years.

**9.16 Electronic Resources Licenses and Agreements**

Records documenting licensing for databases and electronic journals purchased by the library.

**Disposition Instructions:** Destroy in office 5 years after expiration or supersession of agreement or withdrawal of resource, whichever is later.

**9.17 Exhibit Records**

Records documenting exhibitions produced by campus units. This series may include but is not limited to: exhibit brochures, news releases, flyers/posters, exhibit captions and research, audio or video of related events, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives when reference value ends.

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**9.18 Integrated Library System Records (ILS)**

Records documenting the administration and management of the ILS. This series may include but is not limited to: acquisitions, on-line catalog, circulation data, budget data, orders, purchases, fines, patron information, bibliographic data, shelf list, and interlibrary loan data.

**Confidentiality:** Comply with applicable provisions of G.S. 125-19 regarding the confidentiality of library records.

**Disposition Instructions:**

- a. Purge patron data after transaction is complete.
- b. Purge budget and financial data when reference value ends.
- c. Update in office remaining electronic records routinely and retain in office permanently.

**9.19 Interlibrary Loan Agreements Records**



Interlibrary loan agreements with non-UNC users.

**Confidentiality:** Comply with applicable provisions of US Code Title 17 regarding copyright of materials.

**Disposition Instructions:** Destroy in office 5 closed fiscal years after last use of service, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**9.20 Interlibrary Loan System Records**



Records documenting interlibrary loan circulation information. This series may include but is not limited to: patron data, material requested, institution data, date requested, date filled, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of US Code Title 17 regarding the copyright of materials and G.S. 125-19 regarding the confidentiality of library records.

**Disposition Instructions:**

- a. Purge records after 5 years if no copyright violation has been reported.
- b. If copyright violation is alleged, destroy in office after completion of action and resolution of issues involved.

**9.21 Library Donor and Donation Records**



Records documenting donor information and materials donated to the library. This series may include but is not limited to: annual donor statistics, donor and donation forms, agreements, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of legal agreement regarding confidentiality of records concerning each gift.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 15 years.

**9.22 Library Holdings Request Records**



Records documenting requests for information on books, documents, videos, or other holdings of the library. This series may include but is not limited to: requests, and related documentation and correspondence.

**Confidentiality:** Comply with provisions of the 5 U.S.C. § 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 6 months after request is completed.

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**9.23 Library Reference Request Records**

Records documenting reference requests. This series may include but is not limited to: requests in electronic and hard copy format, database of requests, contact information, responses, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 125-19 regarding the confidentiality of library records.

**Note:** This series does not cover reference requests received by Special Collections; see also series titled Special Collections Reference Request Records.

**Disposition Instructions:**

- a. Destroy in office requests and responses 2 years after request is resolved. If request has not been resolved, destroy in office 3 years after date of last contact.
- b. Destroy in office personal contact information gathered by reference request system or provided by requestor 6 months after resolution of request. If request has not been resolved, destroy in office 1 year after date of last contact.
- c. Destroy in office non-personally-identifying statistical information when reference value ends.

**9.24 LYRASIS Records**

Records concerning the library's participation in LYRASIS. This series may include but is not limited to: statistics, newsletters, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for correspondence related to contract and services. Transfer to the custody of University Archives when reference value ends.
- b. Destroy in office remaining records after 5 years.

**9.25 North Carolina Collection Gallery Main Collection Registry**

Electronic database containing records of all items in the North Carolina Collection Gallery.

**Disposition Instructions:** Retain in office permanently.



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**9.26 Publishers' Catalogs**

Catalogs listing new publications by each particular publisher.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**9.27 Records Management Records**

Records documenting records management actions within the unit. This series may include but is not limited to: records retention and disposition schedule(s), destruction logs, records transmittal forms, inventories of records held onsite and offsite, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for records destruction authorizations, records transmittal lists, and guides to microfilmed records.
- b. Destroy in office remaining records when reference value ends.

**9.28 Researcher Agreements and Applications**

Records documenting research agreement and applications requesting services for Special Collections materials.

**Disposition Instructions:** Destroy in office after 70 years.

**9.29 Reserves Records (ILS)**

Records documenting holdings placed on reserve by instructors for student use. This series may include but is not limited to: bibliographic information, student use information, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 1 year.

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**9.30 Search File Records (ILS)**

Records documenting the search process for books that are missing. This series may include but is not limited to: search reports, and related documentation and correspondence.

**Disposition Instructions:**

- a. Transfer reports of missing books to Database Management Services in Resource Description & Management when search process is completed for withdrawal from the ILS.
- b. Destroy in office remaining records when reference value ends.

**9.31 Special Collections Call Slips**

Forms completed by patrons to request materials from the collection.

**Disposition Instructions:** Destroy in office after 10 years.

**9.32 Special Collections Log Records**

Log book maintained by reference staff for monitoring requests for materials in Special Collections.

**Disposition Instructions:** Destroy in office after 3 years.

**9.33 Special Collections Reference Correspondence Records**

Records documenting reference requests received by Special Collections. This series may include but is not limited to: written reference requests, and related records and correspondence.

**Disposition Instructions:** Destroy in office after 5 years.

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**9.34 Standing Orders Records (ILS)**

Records concerning the library's standing orders. This series may include but is not limited to: spreadsheet inventories, credit, memorandums, information regarding book returns and missing shipments, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 years and when released from all audits.

**9.35 Withdrawal Records**

Records documenting items withdrawn from the library catalog and documentation supporting withdrawal decisions. This series may include but is not limited to: reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office records when reference value ends.

## 10. Occupational Safety Records

### 10.1 Accident Report Records



Records documenting accidents involving employees and/or equipment. This series may include but is not limited to: incident reports, drawings, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 97-92 (b) regarding confidentiality of records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.

**Disposition Instructions:**

- a. Transfer records resulting in workers' compensation claims to Workers' Compensation.
- b. Destroy in office remaining records in both categories after 6 years if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after the completion of the action and resolution of the issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

### 10.2 Asbestos Records

Records documenting asbestos in current and past buildings at UNC. This series may include but is not limited to: inspection reports, consultant project design specifications, abatement contractor pre and post submittals, air monitoring data, internal inspection reports, internal abatement records (including dates, locations, personnel and summary of work), and related documentation and correspondence.

**Disposition Instructions:** Retain in office permanently.

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### **10.3 Biological Safety Records**

Reference copies of records concerning biological safety. This series may include but is not limited to: biological safety inspection forms, biological safety cabinet certifications, and related documentation and correspondence.

#### **Disposition Instructions:**

- a. Retain inspection forms in office permanently.
- b. Destroy biological safety cabinet certifications in office when cabinets are removed from campus, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

### **10.4 Chemical Safety Records**

Records documenting the administration of chemical safety policies and procedures within the unit. This series may include but is not limited to: policies and procedures, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 30 years.

### **10.5 Conceptus Protection Program Records**



Records documenting preventive safety and health measures to be taken by personnel or students who are pregnant or contemplating pregnancy. This series may include but is not limited to: air sampling data, chemical inventories, workplace recommendations, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records. Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 3 years, 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 the action and resolution of the issues involved.

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**10.6 Controlled Substance Dispensing Records**



Records documenting the dispensation of controlled substances related to research. This series may include but is not limited to: logs, inventories, control records, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.10 regarding confidentiality of social security numbers and 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records. Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 3 years 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 the action and resolution of the issues involved. For records related to sponsored research, destroy in office according to the record retention requirements in the research terms and conditions or as required by an applicable regulatory authority. If the records relate to activities covered under HIPAA, retain for a period of six years from the last activity.

**10.7 Controlled Substance License Records**

Records documenting the acquisition of licenses for the use of controlled substances in research in the unit. This series may include but is not limited to: applications, licenses, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 5 years after controlled substance is no longer in use or stored, and when licenses are superseded or obsolete. For records related to sponsored research, destroy in office according to the record retention requirements in the research terms and conditions or as required by an applicable regulatory authority.

**10.8 Decommissioning and Spill Incidence Records**

Records documenting the decommissioning of facilities used to produce and/or store hazardous materials resulting from spills. This series may include but is not limited to: incident reports, inspection reports, monitoring and sampling data, recommendations, and related documentation and correspondence.

**Disposition Instructions:** Retain in office permanently.

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**10.9 Emission Inventory Records**

Records documenting and tracking air emissions. This series may include but is not limited to: inventories, reports, and related documentation and correspondence.

**Note:** Comply with applicable requirements of the NC Department of Environmental Quality and the U.S. Environmental Protection Agency.

**Disposition Instructions:** Destroy in office 5 years after submission and acknowledgement of receipt by the NC Department of Environmental Quality: Division of Air Quality.

**10.10 Employee Hearing Test Records**



Records documenting on-the-job hearing testing for University employees. This series may include but is not limited to: test reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records and 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records.

**Office of Record:** Training Office, Facilities Services.

**Disposition Instructions:** Destroy in office superseded reports upon receipt of current year report.

**10.11 Employee Right-To-Know Reports**

Reports documenting the potential for exposure to hazardous materials in the workplace and fulfilling Right-To-Know record keeping requirements (Tier 1 and 2).

**Note:** Comply with applicable requirements of the NC Department of Environmental Quality. See 40 C.F.R. 370-372 for requirements of reporting and recordkeeping.

**Disposition Instructions:** Destroy in office after 10 years.

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### **10.12 Environment, Health, and Safety Records**



Records (including some reference copies) documenting biological, chemical, environmental, fire, industrial, laboratory and radiation safety within the unit. This series may include but is not limited to: reports, policies, procedures, logs, inspections, and related documentation and correspondence.

**Note:** Comply with applicable provisions of 29 C.F.R. 1910 (OSHA Standards). Comply with applicable requirements of the NC Department of Environmental Quality. Comply with applicable provisions of 15A NCAC 11.1636 and 15A NCAC 11.1640 regarding record-keeping requirements and confidentiality of records.

**Office of Record:** Environment, Health & Safety (EHS)

**Disposition Instructions:** Retain in office permanently.

#### **REFERENCE COPY:**

#### **Disposition Instructions:**

- a. Destroy in office correspondence and safety audits after 3 years.
- b. Destroy in office inspection reports after 7 years.
- c. Destroy in office remaining records when reference value ends.

### **10.13 Hazard Management Plan (HMP) Inspection Records**

Records documenting Hazard Management Plan (HMP) inspections. This series may include but is not limited to: reports, medical surveillance, monitoring, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 2 years.



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**10.14 Hazardous Waste Disposal Records**

Records concerning the receipt, shipment, and disposal of chemical material and medical or hazardous waste on campus. File includes, but is not limited to, chemical and waste inspection forms, packing sheets, Uniform Hazardous Waste Manifest forms (EPA 8700), Certificates of Disposal from vendors, waste disposal records, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 30 years.

**10.15 Hazardous Waste Disposal Site Records**

Records documenting hazardous waste disposal sites on University property. This series may include but is not limited to: monitoring data, certified reports, certificate documentation, and related documentation and correspondence.

**Note:** Comply with applicable requirements of the NC Department of Environmental Quality and the U.S. Environmental Protection Agency.

**Disposition Instructions:** Retain in office permanently.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office 7 years after disposal of product with Environment, Health & Safety.

**10.16 High Dose Investigations Records**

Records documenting investigations of Action Level I and II exposures to radiation or radioactive materials. This series may include but is not limited to: reports, logs, dose estimates, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 5 years after the related radiation/radioactive materials license expires if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**10.17 Internal License Records**

Records documenting internal licenses issued by UNC Office for Authorized Users approved by the Radiation Safety Committee (RSC). This series may include but is not limited to: licenses issued, amendments, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 5 years after license expiration if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**10.18 Material Safety Data Sheets**



Material Safety Data Sheets documenting safety information for hazardous materials.

**Confidentiality:** Comply with applicable regulations of 29 (OSHA) C.F.R. 1910.1020.

**Disposition Instructions:** Destroy in office one year after termination of use of product provided a chemical inventory record as described in 29 (OSHA) 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.

**10.19 Monitoring Records**

Records documenting the monitoring of workplace and operations for potential personnel exposure to physical and chemical hazards. This series may include but is not limited to: exposure assessments, site observations, recommendations, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 70 years.

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**10.20 Occupational Safety and Health Administration (OSHA) Records**



Records documenting OSHA compliance, logs, and surveys. This series may include but is not limited to: 300 Log, surveys, forms, and related documentation and correspondence.

**Note:** Comply with applicable provisions of 29 (OSHA) C.F.R. 1904.33(a) (Retention and Updating). Comply with applicable requirements of the NC Department of Environmental Quality. Comply with applicable provisions of 15A NCAC 11.1636 and 15A NCAC 11.1640 regarding record-keeping requirements and confidentiality of records.

**Disposition Instructions:** Destroy in office after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**10.21 Proactive Ergonomic Evaluation Records**



Records documenting evaluations concerning proactive ergonomics in the workplace. This series may include but is not limited to: evaluation results, video and pictures of employee workspace, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 30 years after termination or separation from employment.

**10.22 Radiation Licensing Records**

Records documenting the licensure process to handle radioactive materials obtained from the N.C. Department of Health and Human Services, Division of Health Service Regulation, Radiation Protection Section. This series may include but is not limited to: policies, procedures, correspondence, applications, licenses, NESHAPS calculations, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 5 years after license expiration if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**10.23 Radioactive Materials Transportation Permits**

Permits authorizing the shipment of radioactive materials.

**Disposition Instructions:** Retain in office permanently.

**10.24 Radiological Incident Records**

Records documenting incidents involving radioactive materials as defined by Environment, Health & Safety and the N.C. Department of Health and Human Services, Division of Health Service Regulation, Radiation Protection Section. This series may include but is not limited to: logs, procedures, reports, dose estimates, and related documentation and correspondence.

**Disposition Instructions:**

- a. Destroy in office records defined by Environment, Health & Safety definition after 5 years.
- b. Retain in office records defined by the NC Radiation Protection Section permanently.

**10.25 Radiology Jackets**



X-rays.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.10 regarding confidentiality of social security numbers and 42 USC 1320-d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records.

**Disposition Instructions:**

- a. Permanent for chest x-rays. Retain in office permanently.
- b. Recycle remaining records for silver reclamation after 11 years.

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**10.26 Remediation Project Records**

Records documenting environmental and hazardous waste remediation projects. This series may include but is not limited to: reports, certified documents, and related documentation and correspondence.

**Note:** Comply with applicable regulations of the NC Department of Environmental Quality.

**Disposition Instructions:** Destroy in office 5 years after project completion, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**10.27 Respirator Fit Test Records**



Records documenting employee's quantitative testing of respirators. This series may include but is not limited to: fit testing results, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Note:** Comply with applicable provisions of 29 C.F.R. (OSHA) 1910.134 and 1910.1020 regarding confidentiality of medical and other related records.

**Disposition Instructions:** Destroy in office 30 years after termination or separation from employment.

**10.28 Restricted Use Pesticide Records**

Records documenting the use of restricted use pesticides. This series may include but is not limited to: reports, and related documentation and correspondence.

**Note:** Comply with North Carolina Pesticide Law (G.S. 143-434 et seq.).

**Disposition Instructions:** Destroy in office after 3 years.

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### 10.29 Safety Training Records



Records documenting online, classroom, or job specific safety training. This series may include but is not limited to: course outlines, training schedules, individual employee tests, attendance records, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Note:** Comply with applicable regulations of 29 C.F.R. (OSHA) 1910.1020 regarding confidentiality of medical and other related records.

**Disposition Instructions:**

- a. Destroy in office employee specific records 30 years after termination or separation from employment.
- b. Destroy in office remaining records when reference value ends.

### 10.30 Select Agent Records

Records documenting the use of pathogens and biological toxins at the University. This series may include but is not limited to: applications, updates (4BS), Security Risk Assessment approvals, correspondence, Centers for Disease Control and UNC inspections, training records, discard records, annual and daily inventories, access records, drill records, lab procedures, biological safety cabinet testing, HEPA filter maintenance, inspections, and related documentation and correspondence.

**Disposition Instructions:** Retain in office permanently.

### 10.31 Student Accident Report Records



Records documenting accidents involving students. This series may include but is not limited to: reports, affidavits, photographs, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 7 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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### **10.32 Workers' Compensation Records**



Records documenting the administration of the workers' compensation program at the University. This series may include but is not limited to: 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, findings, recommendations, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 8-53, G.S. 97-72 (b), 333 NC 258 and 425 SE 2d 698 (1993) regarding confidentiality of records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

#### **Disposition Instructions:**

- a. 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.
- b. Retain in office permanently records concerning claims filed for injuries which occurred prior to July 6, 1994. 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.
- c. Destroy in office remaining records after 5 years, in accordance with G.S. 97-24(c).

### **10.33 Workers' Compensation Third Party Administrative Fee Records**

Records documenting fees paid to administer third party Workers' Compensation claims. This series may include but is not limited to: invoices, financial statements, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**10.34 X-Ray Machine Survey Records**

Records documenting annual inspections of X-Ray Equipment. This series may include but is not limited to: equipment name, location, survey results, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 5 years.

**10.35 X-Ray Registration Records**

Records documenting the registration of radiation generating machines as required by the State of North Carolina. This series may include but is not limited to: registration forms, amendments, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when superseded or obsolete.



## 11. Personnel Records

### 11.1 Administrative Performance Reviews (Senior Administrators)



Records documenting reviews conducted every 5 years for senior administrators including Vice Chancellors, Deans, and Directors. This series may include but is not limited to: review committee's recommendations concerning reappointment, reference copies of unit self-studies, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records, and G.S. 132-1.1 regarding confidentiality of records.

**Disposition Instructions:** Permanent. Transfer records to official personnel file after review is complete.

#### REFERENCE COPY:

**Disposition Instructions:** Destroy in office 5 years after completion of review and when reference value ends.

### 11.2 Affirmative Action and Equal Opportunity (EEO) Records



Records documenting agency participation in federal and state affirmative action/equal opportunity programs. This series may include but is not limited to: regulations, guidelines, reports, directives, recruitment plans, equal opportunity statements, procedures, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records, and G.S. 132-1.1 regarding confidentiality of records.

#### Disposition Instructions:

- a. Permanent for policies, guidelines, correspondence, affirmative action plans and compliance reviews. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office remaining records after 5 years.

#### REFERENCE COPY:

**Disposition Instructions:** Destroy in office after 5 years.

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**11.3 Alcohol and Drug Abuse Program Records**



Records documenting the alcohol and drug abuse rehabilitation program for University employees. This series may include but is not limited to: guidelines and directives, final reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records, and G.S. 132-1.1 regarding confidentiality of records.

**Disposition Instructions:** Destroy in office after 7 years.

**11.4 Americans with Disabilities Act (ADA) Records**



Records documenting the ADA program at UNC-Chapel Hill and UNC System Office. This series may include but is not limited to: guidelines, directives, self-report forms, final reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Permanent for reports, directives, guidelines and official correspondence.  
Transfer to the custody of University Archives after 5 years.
- b. Destroy in office all remaining records after 5 years.

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### **11.5 Applications for Employment**



Records documenting the application process for permanent employees. This series may include but is not limited to: applications, resumes, vitae, recommendations, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of records.

**See Also:** Applications of Temporary Employment, Employee Verification Records, I-9 Forms, and Search Records

#### **Disposition Instructions:**

- a. Transfer applications and other records for individuals hired appropriate personnel file when individual accepts the position.
- b. Destroy in office applications and other records for individuals not hired 3 years after date of application, if no charge of discrimination has been filed. If charge has been filed, destroy 1 year after resolution of charge

#### **REFERENCE COPY**

**Disposition Instructions:** Destroy in office when employment decision is made.

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**11.6 Applications for Temporary Employment**



Records documenting the applications process for temporary employment. This series may include but is not limited to: applications, update forms, interview notes, recommendations, statistical data on applicants, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of records.

**Disposition Instructions:**

- a. Transfer selected candidate's records to Personnel Record.
- b. Destroy in office interviewed but not selected candidate's records 2 years after date of interview, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- c. Destroy in office non-interviewed candidate's records after 1 year, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**11.7 Biographical File Records**

Records documenting biographical information for faculty and staff. This series may include but is not limited to: curricula vitae, clippings, photographs, and speeches.

**Disposition Instructions:**

- a. Permanent for selected materials. Consult with University Archives when reference value ends.
- b. Destroy in office remaining records when reference value ends.

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### **11.8 Conflict of Interest Records**



Records documenting possible conflicts of interest between University employees and outside agencies. This series may include but is not limited to: forms, and related documentation and correspondence. See also additional Conflict of Interest Records sections related Administrative Conflicts of Interest (1.15) and Sponsored Projects (6.5).

#### **Disposition Instructions:**

- a. If no conflict of interest exists, destroy in office after 3 years.
- b. If potential or actual conflict of interest exists destroy in office 6 years after resolution of conflict.
- c. If any document is related to a sponsored research project or human study, any destruction will occur in accordance with the timeline as required by a sponsor or applicable federal regulation.

### **11.9 Course Evaluations**



Course evaluations, including evaluations of instructors, completed by students.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 5 years.

### **11.10 Death Claim Records**



Records documenting the filing of death claims on all retired and active employees. This series may include but is not limited to: claim forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 5 years after claim is paid, 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 the action and resolution of the issues involved.

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**11.11 Disability Insurance Records**



Records documenting employee participation in disability insurance plans offered by the UNC System. This series may include but is not limited to: transmittal forms, campus reports, copies of insurance payment checks, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 5 USC 552A (U.S Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data; applicable provisions of G.S. 132-1.2(2) and 132-1.10 regarding confidentiality of account numbers, social security numbers, and other personal data; and 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of medical records.

**Disposition Instructions:** Destroy in office after 5 years if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**11.12 Disability Salary Continuation Claims Records**



Records documenting claims completed by disabled employees to apply for salary continuation benefits. This series may include but is not limited to: applications for salary continuation, claim forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 5 U.S.C. 552A (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data and applicable provisions of G.S. 132-1.2(2) and 132-1.10 regarding confidentiality of account numbers, social security numbers, and other personal data.

**Disposition Instructions:** Transfer to agency handling disability claim.

**REFERENCE COPY:**

**Disposition Instructions:** Transfer to appropriate individual personnel file.

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**11.13 Disciplinary Records**



Records documenting disciplinary actions brought against University employees. This series may include but is not limited to: reports, forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24, regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 5 years after employee separation from the University. Destruction after final resolution may occur earlier if permitted by state law, regulations, or policy.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**11.14 Dispute Resolution and Grievance Records**



Records documenting the dispute resolution and staff grievance policies at the University. This series may include but is not limited to: forms, statements, responses, hearing and conference notes, decisions, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24, regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 3 years after final resolution of grievance or dispute.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office upon resolution of grievance.

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**11.15 Dual and Secondary Employment Records**



Records documenting the actions of employees requesting and engaging in dual employment within state government or universities or secondary employment outside of the state government or universities. This series may include but is not limited to: forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24, regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Destroy in office approved requests and related records 1 year after employee terminates outside employment.
- b. Destroy in office disapproved requests and related records after 6 months.
- c. Destroy in office remaining records when reference value ends.

**11.16 Duty Assignment and Performance Evaluation and Management Records**



Records documenting the daily work duties, tasks, goals, and development of University employees that are also used to evaluate his or her performance. This series may include but is not limited to: work plans, assignments, and reports; development plans and performance evaluations; warning letters and counseling memos; and related documentation and correspondence.

**Office of Record:** the schools, departments, or units.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24, regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office official copies after 3 years 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.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 3 years.



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**11.17 Educational Leave and Reimbursement Records**



Records documenting requests for educational leave and reimbursement filed by University employees. This series may include but is not limited to: forms, reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24, regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 3 years.

**11.18 Employee Assistance Program Records**



Records documenting the administration of programs related to assistance and counseling opportunities for University employees. This series may include but is not limited to: requests for information, referrals, forms, releases, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24, regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 3 years.

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### 11.19 Employee Benefits Records



Records documenting benefits available to UNC employees and all actions taken in conjunction with employee benefit and insurance plans. This series may include but is not limited to: studies, provider comparisons, enrollment forms, applications, medical histories, fee schedules, claim and beneficiary designation forms, receipts and payment records, and related documentation and correspondence.

**Confidentiality:** Comply with 5 U.S.C. 552a (Privacy Act of 1974), 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974), 42 USC 1320(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)), and G.S. 132-1.10, regarding confidentiality of social security numbers and other personal data and medical records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24, regarding confidentiality of personnel records.

#### **Disposition Instructions:**

- a. Transfer forms concerning beneficiaries to the Department of State Treasurer, Retirement Systems Division, or other retirement plan, when received.
- b. Destroy enrollment forms, applications, medical histories, and fee schedules in office 2 years after account is closed.
- c. Destroy claim and payment records in office after 7 closed fiscal years and when released from all audits.
- d. Destroy in office remaining records when superseded or obsolete.

### 11.20 Employee Exposure to Medical-Hazardous Materials Records



Records documenting 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. This series may include but is not limited to: examinations, test results, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)), G.S. 126-22, G.S. 126-23, and G.S. 126-24 regarding confidentiality of personnel and patient medical records.

**Disposition Instructions:** Destroy in office medical records related to exposure to hazardous materials 30 years after separation or termination of service.

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**11.21 Employee Medical Records**



Records documenting the medical and health status of University employees (other than medical records referred to in the series Employee Exposure to Medical-Hazardous Materials Records). This series may include but is not limited to: medical leave permit forms, workers compensation injury reports, treatment reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24, and 42 U.S.C. 1320 d-2(d) (2) (Health Insurance Portability and Accountability Act (HIPAA)) regarding confidentiality of personnel and patient medical records.

**See Also:** Workers' Compensation Records

**Disposition Instructions:** Destroy in office 6 years after employee terminates service.

**11.22 Employee Recognition Program Records**



Records documenting the administration of Employee Recognition Programs within individual units. This series may include but is not limited to: program description, award recipients, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 3 years.

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**11.23 Employee Survey Records**



Records documenting surveys related to employment at the University and completed by faculty and/or staff. This series may include but is not limited to: surveys, data, summary reports, conclusions, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Permanent for results and conclusions. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office surveys and remaining records when reference value ends.

**11.24 Employee Verification Records**



Records documenting the verification process for appointment, employment, or other related verifications. This series may include but is not limited to: reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 5 years after completion of verification.

**11.25 Exempt from the State Human Resources Act (EHRA) Non-Faculty Administrative Records**

Administrative records documenting EHRA Non-Faculty related issues involving annual leave exceptions, position classifications, and other related topics. This series may include but is not limited to: policies, procedures, reports, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to employee's main personnel file.

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**11.26 Exempt from the State Human Resources Act (EHRA) Personnel One-Time  
Payments**



Records documenting One-Time Payments (OTPs) 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. This series may include but is not limited to: personnel action forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 1 year after payment date.

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**11.27 Exempt from the State Human Resources Act (EHRA) Personnel Records**



Personnel records of EHRA employees, defined as all employees exempt from the State Human Resources Act. This series may include but is not limited to: applications; contracts; resumes and vitae; records concerning promotions, demotions, and transfers; personnel action forms; salary data and history; records concerning termination of employment; verifications and credentials; copies of licenses and certifications; records concerning adjunct faculty appointments; records concerning employee's aggregate service history; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Note:** This series does not include records of candidates who were selected but did not enter employment with the University. For such records, see Search Records.

**See Also:** Applications for Temporary Employment, Payroll Records

**Office of Record:** Office of Human Resources, Employee Records; Chancellor's Office; Provost's Office.

**Disposition Instructions:** Destroy in office 30 years after employee separation.

**REFERENCE COPY:** the schools, departments, or units.

**Disposition Instructions:**

- a. Transfer Hiring Credentials Check Form to employee's main personnel file held by Office of Record as listed above 3 years after termination of employment or transfer from unit.
- b. Destroy in office remaining records 5 years after termination of employment, transfer from unit, or end of appointment.

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**11.28 Faculty Compensation Records (ARP)**



Records documenting the allocation of unit funds for faculty compensation. This series may include but is not limited to: reports, spreadsheets, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 1 year after final budget for faculty compensation is approved.

**11.29 Faculty Curricula Vitae and Resumes**



Faculty curricula vitae and/or resumes collected by the unit for reference.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when reference value ends.

**11.30 Faculty Development and Continuing Education Records**



Records documenting faculty development and continuing education efforts. This series may include but is not limited to: records of nomination and attendance; certification of teaching scholars; monthly reports; project symposiums records; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Transfer specific faculty records to EHRA Personnel Records as applicable.
- b. Destroy in office financial records relating to programs and participation 5 years after release from all audits and claims.
- c. Retain master list of participants and credits earned for 5 years after participation in program.

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**11.31 Family Medical Leave Act (FMLA) Records**



Records documenting leave issued under the Family Medical Leave Act (FMLA), 29 U.S.C. 2601 et seq. This series may include but is not limited to: forms, requests, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, G.S. 126-23, G.S. 126-24, and Family Medical Leave Act (FMLA) 29 U.S.C. 2601 et seq. regarding confidentiality of personnel and patient medical records.

**Disposition Instructions:** Destroy in office 5 years after date of last activity.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**11.32 Harassment Education and Policy Records**

Records documenting harassment education and policy at UNC. This series may include but is not limited to: educational materials, advisory committee reports and appointments, reference and research documentation, and related documentation and correspondence.

**See Also:** Dispute Resolution and Grievance Records for formal grievances.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives when superseded or obsolete.

**11.33 I-9 Forms**



Employment eligibility verification (I-9) forms. Comply with 8 C.F.R. 274a.2(b)(2)(i).

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Mandatory retention throughout the duration of an individual's employment. Destroy in office 1 year after termination of employment or 3 years after date of hire, whichever occurs later.



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**11.34 Immigration Filings and Related Records and Filings (UNC Campuses)**



Reference copies of immigration records and supporting documentation; and legal opinions. This series may include but is not limited to copies of: Form DS-2019 Certificate of Eligibility for Exchange Visitor Status (J-Nonimmigrant) (Legacy Form IAP-66); departmental J-1 Scholar Request Form: Request for Issuance of Form DS-2019; Initial International Faculty/Scholar Request Form; Form I-20 Certificate of Eligibility for Nonimmigrant Student Status; U.S. Citizenship and Immigration Services (USCIS) Forms I-797, I-797 A, B, C, D, or E Notice of Action; Form I-129 petitions for a Nonimmigrant Worker as filed with USCIS: Temporary Worker in Specialty Occupations (H-1B), Trade NAFTA (TN-1 and TN-2), Individuals of Extraordinary Ability or Achievement (O-1), Performing Artist or Athlete (P), and Certain Specialty Occupation Professionals from Australia (E-3); Application to Waive the J-1 Two-Year Foreign Residence Requirement as filed with the North Carolina Department of Health and Human Services; North Carolina Department of Health and Human Services Recommendation to Waive the J-1 Two-Year Foreign Residence Requirement; United States Information Agency/Department of State Recommendation to Waive the J-1 Two-Year Foreign Residence Requirement; USCIS Waiver of the Two-Year Foreign Residence Requirement; reference copies of: Certified Labor Condition Application (Form 9035) and associated Public Access File (See 20 CFR § 655.760, Application for Permanent Employment Certification (ETA Form 9089) (Legacy Form ETA-750) as filed with the U.S. Department of Labor and all supporting documentation (AKA PERM Audit File); Prevailing Wage Determination, and Actual Wage Determination; Form I-140 Immigrant Petition for Alien Worker as filed with USCIS, Permanent Resident Card (I-551); Certificate of Naturalization; Form PR-100 Foreign National Check-in and Tax Assessment; Passport; Visa stamp(s); Form I-94 Arrival-Departure Record; Employment Authorization Document (EAD); file notes; financial documentation; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Office of Record:** UNC System School or Schools operating in the State of North Carolina maintains the official records of these filings.

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**Immigration Filings and Related Records and Filings (UNC Campuses) cont.**

**Disposition Instructions:**

- a. Destroy in office records 5 years from date of approval of permanent residence or separation from the University, 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.
- b. Destroy in office records for those who did not arrive at the University, 3 years after date of last action, 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.
- c. Destroy in office records of Public Access Files related to filing of Form ETA-9035 Labor Condition Applications (LCA) 1 year beyond the last date on which any H-1B nonimmigrant is employed under the labor condition application or, if no nonimmigrants were employed under the LCA, one year from the date the LCA expired or was withdrawn.
- d. Destroy in office Audit File records of applications for Form ETA-9089 Application for Permanent Employment Certification (legacy ETA-750 A&B) filed with the U.S. Department of Labor and all supporting documentation 5 years from the date of filing the application for Labor Certification, or in the event of an audit, 5 years from the date the audit response is received by the Department of Labor.

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### **11.35 Leave Records**



Records documenting leave requested and/or taken by University employees. This series may include but is not limited to: leave requests, monthly leave reports, yearly leave recapitulations, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23 and 126-24 regarding confidentiality of personnel records.

**Office of Record:** Office of Human Resources and unit

#### **Disposition Instructions:**

Destroy in office monthly time sheets of permanent EHRA employees upon completion of annual leave verification.

Destroy in office monthly time sheets of temporary EHRA employees after close of the fiscal year.

Destroy remaining records in office after 5 years.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

### **11.36 Optional Retirement Plan (ORP) Participant Records**



Records documenting employee enrollment and participation in the ORP. This series may include but is not limited to: enrollment, change in investment, ORP-3 forms; carrier contracts; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

#### **Disposition Instructions:**

- a. Transfer contract to carrier 13 months after employee terminates service.
- b. Destroy in office all remaining records 5 years after termination of employment and/or withdrawal from the plan, if no litigation, claim, audits, or other official action involving records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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### **11.37 Payroll Records**



Records of salary-related actions including direct deposit, tax forms, voluntary deductions, garnishment and income withholding orders, and related documentation.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Office of Record:** Payroll Services

**See Also:** Exempt from the State Human Resources Act (EHRA) Personnel Records, Subject to the State Human Resources Act (SHRA) Personnel Records, Time Sheets

**Disposition Instructions:** Destroy in office after 7 closed fiscal years and when released from all audits.

### **11.38 Position Classifications Records**

Records documenting position classifications approved by the Office of State Personnel. This series may include but is not limited to: position classification forms, lists of titles and position numbers, analyst notes, FLSA checklist, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office when position is eliminated if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**11.39 Post-Tenure Review Reports**

Reports documenting the number of individuals at each professional rank who underwent a post-tenure review in the past academic year.

**Note:** These records do not include personnel information and should not be considered confidential.

**Office of Record:** Individual Human Resources (HR) units unless the report constitutes a mandatory review, in which case the Dean's Office maintains the official record for eventual transfer to the Chancellor's Office, Personnel Office.

**Disposition Instructions:** Permanent. Transfer reports to the custody of University Archives after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**11.40 Professional Credentialing Records**



Records documenting professional credentialing processes and supporting applications for professional certificates or licenses. This series may include but is not limited to: applications, registration, evidence of completion of practicum, transcripts, narrative evaluation of practicum, completion of hours for certification, recommendations, evaluations, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 5 years after graduation or separation.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**11.41 Reappointment, Promotion, and Tenure Records**



Records documenting the reappointment, promotion, and tenure processes of the University and within its units. This series may include but is not limited to: recommendations, reports, articles, curricula vitae, resumes, lists of publications, evaluations, summaries of research activities, and related documentation and correspondence.

**Note:** These files should always be maintained physically separate from EHRA personnel files, but are considered to be a part of the academic personnel record.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Transfer records concerning award of reappointment, promotion or tenure to individual's Personnel File when granted.
- b. Destroy in office all remaining records after 5 years if no litigation, claim, audits, or other official action involving records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reappointment, promotion or tenure decision is made.

**11.42 Recruitment Pool Records**



Records documenting prospective applicants for faculty and staff positions drawn from either previous recruitments or unsolicited applications. This series may include but is not limited to: curriculum vitae, resumes, cover letters, applications for employment, interview materials, position announcements, evaluations of prospective employees, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 3 years.

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**11.43 Reduction-in-Force Records**



Records documenting reductions-in-force actions and compiling data related to reduction-in-force situations. This series may include but is not limited to: reports, forms, lists of employees, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Transfer forms and correspondence to official personnel file 1 year after employee separation.
- b. Destroy in office remaining records when reference value ends, 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.

**11.44 Retirement Benefits Records**



Records documenting retirement benefits plans offered to University employees, enrollment in these plans, and the employee's designation of beneficiaries. This series may include but is not limited to: forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Office of Record:** Office of Human Resources

**Disposition Instructions:**

- a. Transfer forms concerning beneficiaries to the Department of State Treasurer, Retirement Systems Division or other retirement plan, when received.
- b. Destroy in office remaining records when reference value ends.

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**11.45 Salary Resolution Records**

Records documenting yearly salary resolutions provided to UNC system schools indicating salary ranges for administrative (EHRA) positions. This series may include but is not limited to: policies, procedures, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

**11.46 Search Records**



Records documenting the activities of search committees and groups charged with recruiting for positions, including student positions (see Disposition Instructions c and d), as well as the search and selection process positions. This series may include but is not limited to: applications; resumes and curricula vitae; committee member lists; meeting notes; video and/or audio recordings of interviews and presentations; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records and 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**See Also:** Work Study Program Administrative Records.

**Disposition Instructions:**

- a. Transfer application materials of successful applicant to the hiring office's Personnel File.
- b. Destroy in office records for successful applicants for student positions—where the student is employed as a result of his/her status as a student—3 years after termination or separation from employment.
- c. For unsuccessful student-position candidates, destroy in office 2 years after application period if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved or at the end of the 1-year period (whichever occurs later).
- d. Destroy in office remaining records 3 years after end of committee's charge, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office upon completion of committee's charge.



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**11.47 Social Security Deductions Reports**



Reports listing Social Security deductions from each employee's salary.

**Confidentiality:** Comply with applicable provisions of 5 U.S.C. 552a (U.S. Privacy Act of 1974) and G.S. 132-1.10 regarding confidentiality of social security numbers and other personal data, and G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 7 closed fiscal years and when released from all audits.

**11.48 Subject to the State Human Resources Act (SHRA) Personnel Records**



Personnel records of all employees subject to the State Human Resources Act. This series may include but is not limited to: applications; resumes and vitae; records concerning promotions, demotions, and transfers; personnel action forms; salary data and history; records concerning termination of employment; verifications and credentials; copies of licenses and certifications; records related to employee's aggregate service history; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Note:** This series does not include records of candidates who were selected but did not enter employment with the University. For such records, see Search Records.

**Office of Record:** Office of Human Resources, Employee Records.

**Disposition Instructions:** Destroy in office 30 years after separation or termination.

**REFERENCE COPY:** the schools, departments, or units.

**Disposition Instructions:** Destroy in office 5 years after termination of employment, transfer from unit, or end of appointment.

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**11.49 Time Sheets**



Records document hours worked or leave hours accrued or taken by employees. This series may include but is not limited to: employee name and other personally identifiable information, work schedule, days and time worked, leave time, work-study related time records, approvals, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 5 years and when posted to applicable retirement plan.

**11.50 Training Program Records (Office of Human Resources)**

Records documenting training programs sponsored and conducted by the Office of Human Resources. This series may include but is not limited to: program agendas and/or curricula, certifications of completion, class notes, attendance sheets, evaluation forms, publications and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for memoranda, program agendas, curricula, reports, and publications. Transfer to the custody of University Archives when superseded or obsolete.
- b. Destroy in office remaining records when reference value ends.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**11.51 University Management Development Program Records (UMDP)**



Records documenting professional development training for selected University managers. This series may include but is not limited to: memoranda, reports, rosters of approved managers, and related documentation and correspondence.

**Office of Record:** Office of Human Resources, Training and Talent Development Section.

**Disposition Instructions:** Permanent. Transfer records to the custody of University Archives after 5 years.

**Note:** This program has been discontinued.

**See Also:** Training Program Records

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**11.52 Violence in the Workplace Records**



Records documenting acts or threats of violence in the workplace. This series may include but is not limited to: reports, forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Office of Record:** Human Resources, Employee & Management Relations.

**Disposition Instructions:** Destroy in office after 7 years if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**11.53 Voluntary Shared Leave Records**



Records documenting the administration of and participation in the University's voluntary shared leave program. This series may include but is not limited to: applications, forms, leave reports, requests, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 5 years.

**11.54 Work Schedules**

Work schedules documenting variable, flexible, and shift work scheduling and used to calculate overtime and compensatory time.

**Disposition Instructions:** Destroy in office when reference value ends.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**11.55 Work Study Student Personnel Records**



Records concerning student funding under the federal Work Study program. May include copies of payroll forms, time sheets, schedules, evaluations, job descriptions and payroll and related correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act of 1974) regarding confidentiality of records.

**Disposition Instructions:** Retain 3 years after last award activity or 1 year after successful compliance with required audit or until administrative values ends.

## 12. Public Safety Records

### 12.1 Alarm Monitoring Reports



Fire and security alarm reports documenting the monitoring and testing of alarm systems on campus and within units.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

**See Also:** Central Alarm Receiving System (CARS) Records

**Disposition Instructions:** Destroy in office after 7 years records documenting tests of alert sirens. For all other records, destroy in office after 2 years.

### 12.2 Bans and Trespass Warnings

Campus bans and trespass warnings issued.

**Disposition Instructions:** Destroy in office 2 years after ban or trespass warning removed.

### 12.3 Building and Grounds Security Check Records

Records documenting routine security checks. This series may include but is not limited to: logs, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 years.

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#### **12.4 Campus and Facility Security Records**



Records documenting the administration and management of facility security at UNC. This series may include but is not limited to: surveillance videos (including recordings from body-worn cameras) incident reports, procedures, building plans, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

**See Also:** Alarm Monitoring Reports

##### **Disposition Instructions:**

- a. Transfer reports and surveillance records needed to support felony and misdemeanor investigations to appropriate Case Records File when created or opened.
- b. If surveillance records not required to support investigations or litigation destroy in office after 30 days.
- c. Destroy in office remaining records when reference value ends, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

##### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

#### **12.5 Campus Police and Security Duty Assignment Records**



Records documenting duty assignments for campus police and security officers. This series may include but is not limited to: assignments, schedules, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office after 5 years.

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## **12.6 Case Records**



Records documenting felony and/or misdemeanor investigations. This series may include but is not limited to: statements, incident reports, photographs, evidence sheets, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with applicable provisions of G.S. 132-1.1, and G.S. 132-1.4 regarding confidentiality of records.

### **Disposition Instructions:**

- a. Destroy in office closed felony case records after 20 years.
- b. Destroy in office closed misdemeanor case records after 7 years.

## **12.7 Central Alarm Receiving System (CARS) Records**



Records concerning security system operations for campus buildings on the Central Alarm Receiving System (CARS). This series may include but is not limited to: logs, reports, plans, system maintenance, and upgrades and changes to system.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of building plans and specifications.

### **Disposition Instructions:**

- a. Destroy in office logs and reports after 5 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of all issues involved.
- b. Retain in office all records of maintenance, upgrades and changes to system until system is replaced.
- c. Destroy in office remaining records when superseded or obsolete if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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### **12.8 Communications and Dispatch Records**



Records documenting emergency communications and dispatching. This series may include but is not limited to: radio, telephone, and 911 emergency recordings of incoming and/or outgoing communications and dispatches, database records, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.4(c)(4) regarding confidentiality of 911 caller, victim, and witness information.

**Disposition Instructions:**

- a. Transfer felony/misdemeanor communications and dispatches to appropriate Case Records File when created.
- b. Destroy in office remaining records after 7 years.

### **12.9 Confiscated Weapons Records**

Records documenting the confiscation, control and return, or disposal of weapons confiscated during searches or arrests. This series may include but is not limited to: forms, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 7 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

### **12.10 Controlled Substance Seizure Records**

Records documenting the confiscation or receipt, control, and return or disposal of controlled substances. This series may include but is not limited to: forms, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 7 years after disposal of items.



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**12.11 Disaster and Emergency Response Records**



Records documenting disaster and emergency response policies and procedures. This series may include but is not limited to: policies, procedures, reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.6 and 132-1.7 regarding confidentiality of building plans and specifications and security plans and procedures.

**Disposition Instructions:** Destroy in office after 7 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**12.12 Drug Testing Records**



Records documenting drug testing for commercial driver licenses and pre-employment screening. This series may include but is not limited to: test results, notifications, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA) regarding confidentiality of patient-related personal information.

**Note:** Comply with applicable provisions of 49 C.F.R. 382.401 regarding record-keeping requirements and confidentiality of records.

**Disposition Instructions:**

- a. Destroy in office negative tests 1 year after date of test, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b. Destroy in office positive tests 5 years after date of test, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**12.13 Key Assignment Records**



Records documenting the assignment of keys and/or keycards for access to assigned space for the unit. This series may include but is not limited to: key assignment logs; and related documentation and correspondence

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.7 regarding confidentiality of public security information.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**12.14 Misuse Reports Records**



Records documenting the misuse of state property by UNC employees. This series may include but is not limited to: misuse reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 5 years after resolution of all litigation, audits, or official claims.

**12.15 Parking Assignment Appeal Records**



Records documenting employee parking assignment appeals. This series may include but is not limited to: appeal forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 3 years after resolution of appeal.

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**12.16 Parking Assignment Records**



Records (including reference copies) documenting staff and student parking assignments. This series may include but is not limited to: applications, lists of staff and student parking assignments, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records. Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Office of Record:** Transportation and Parking.

**Disposition Instructions:** Destroy in office when reference value ends.

**12.17 Parking Tickets**



Parking tickets issued on UNC-Chapel Hill property by UNC-Chapel Hill Campus Police.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, G.S. 126-23 and G.S. 126-24 regarding confidentiality of personnel records. Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974).

**Disposition Instructions:** Destroy in office after 3 closed fiscal years and when released from all audits.

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**12.18 Police Incident Report Records**



Records documenting incidents involving campus and city police. This series may include but is not limited to: reports, supporting documentation, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.4 regarding confidentiality of records.

**Disposition Instructions:**

- a. Transfer felony and misdemeanor reports to appropriate Case Records file when created or opened.
- b. Destroy in office remaining records after 7 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**12.19 Towed Vehicle Reports**

Towed vehicle reports for vehicles towed off UNC property.

**Disposition Instructions:** Destroy in office after 3 years.

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#### **12.20 Traffic Accident Report Records**



Records documenting traffic accidents. This series may include but is not limited to: reports, violations issued, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 132-1.1, and G.S. 132-1.4 regarding confidentiality of records.

**Disposition Instructions:**

- a. Transfer reports for accidents meeting the requirements for reporting to the NC Division of Motor Vehicles within 10 days.
- b. Destroy in office reports for accidents not meeting the requirements for reporting to the NC Division of Motor Vehicles in office after 3 years.
- c. Destroy in office remaining records when reference value ends.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office duplicate/reference copy when reference value ends.

#### **12.21 Traffic Citations**

Traffic citations issued by UNC-Chapel Hill Campus Police.

**Disposition Instructions:** Transfer to Clerk of the Court.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 3 years, if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

#### **12.22 Traffic Stop Reports**

Traffic stop reports for traffic stops on UNC-Chapel Hill property by UNC-Chapel Hill Campus Police.

**Disposition Instructions:** Destroy in office after 3 years.

## 13. Sponsored Projects and Research Records

### 13.1 Animal Care Records



Records documenting the care of animals in scientific research including records of Division of Comparative Medicine and any other animal care records. This series may include but is not limited to: animal health records, disposition logs and related documentation.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** In accordance with the NC Administrative Code followed by the NC Veterinary Medical Board (section .0207(12)(B)), animal care and medical records shall be kept for a period of three years following disposition of animal subject or three years after expiration of associated animal protocol. Animal care records will be destroyed in office thereafter unless a longer period is required by external sponsor terms and conditions or applicable regulatory requirements.

### 13.2 Animal Research Records



Records documenting the use of animals for research including research protocols and records of the Institutional Animal Care and Use Committee (IACUC). This series may include but is not limited to: protocols, reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records and S.E.T.A. UNC-CH v. Huffines, 101 N.C. App. 292, 399 S.E.2d 340 (1991) regarding confidentiality of records related to the care and use of animals in scientific experiments.

**Disposition Instructions:** Destroy in office after 3 years and when released from all litigation, claim, audits or other official action, unless the records relate to a sponsored project, in which case, destroy after the record retention period required of the external project terms and conditions or applicable regulatory requirements.

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**13.3 Area Health Education Centers (AHEC) Grant Records**

Records documenting grants awarded by AHEC to AHEC centers or other organizations to fulfill the mission of AHEC. This series may include but is not limited to: grant applications, reviews, project descriptions, financial transactions and statements, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for funded grant records. Transfer to the custody of University Archives 5 years after expiration of grant and when reference value ends.
- b. Destroy in office unfunded grant records 1 year from grant submission deadline.

**13.4 Conflict of Interest Records**



Records documenting possible institutional conflicts of interest. This series may include but is not limited to: research, reports, findings, and related documentation and correspondence. For Conflicts of Interest related to University Personnel, see section 12.8.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:** Destroy in office 3 years after resolution of conflict or satisfaction of other contractual or regulatory obligations.

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### **13.5 Effort Certification Reports**



Records documenting and certifying employees' time spent working on sponsored projects.

**Confidentiality:**

Comply with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records. Comply with provisions of 5 U.S.C. § 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data and of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with provisions of 42 U.S.C. 1320d-2(d)(2) (HIPAA) regarding confidentiality of patient-related medical records and personal information.

**Office of Record:** Office of Sponsored Research

**Disposition Instructions:** Destroy in office according to the requirements of the sponsoring agency for the projects referenced on the effort certification report.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.



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### **13.6 Human Subjects Research Internal Reviews**



Records documenting the review of research involving human subjects. This series may include but is not limited to: applications for review (initial, modification, renewals); exempt, Not Human Subjects Research (NHSR); master protocols; consent documents; data collection and recruitment materials; investigator brochures; reliance agreements; safety monitoring reports; new safety information; research complaints; for cause and not-for cause audits; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 66-152 and G.S. 132-1.2(1) a-d regarding the protection and confidentiality of trade secrets. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records. Comply with provisions of 42 U.S.C. 1320d- 2(d)(2) (HIPAA) regarding confidentiality of patient-related medical records and personal information

**See Also:** Institutional Review Boards (IRBs) Operations Records.

#### **Disposition Instructions:**

If no litigation, claim, audit, or other action has been initiated by a University office and/or entity external to the University, destroy in office three years after completion of the research or for such longer period prescribed by an external sponsor. If the records relate to activities covered under HIPAA, retain for a period of six years from last activity.

### **13.7 Institutional Review Boards (IRBs) Operations Records**



Records documenting the operations of the University's IRBs. This series may include but is not limited to: agendas, meeting minutes, meeting documentation and correspondence, IRB membership rosters, and written IRB procedures.

**Confidentiality:** Comply with applicable provisions of G.S. 66-152 and 132-1.2(1) a-d regarding the protection and confidentiality of trade secrets. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records. Comply with provisions of 42 U.S.C. 1320d- 2(d)(2) (HIPAA) regarding confidentiality of patient-related medical records and personal information.

**Note:** These records are maintained pursuant to federal regulations 45 C.F.R. 46.115(a) (1, 3, 4, and 7) and 21 C.F.R. 56.115(a) (1, 3, 4, and 7).

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives 3 years after their last effective date.

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### **13.8 Internally Funded Research Project Records**



Records documenting internally funded research projects. This series may include but is not limited to: correspondence, project descriptions, final technical reports or deliverables, patents or inventions, data, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of North Carolina General Statutes 66-152 and 132-1.2(1)a-d regarding the protection and the confidentiality of trade secrets and with applicable provisions of G.S. 126-22, 126-23, 126-24 regarding confidentiality of personnel records. Comply with provisions of 5 U.S.C. § 552a (U.S. Privacy Act of 1974) regarding confidentiality of social security numbers and other personal data and of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with provisions of 42 U.S.C. 1320d-2(d)(2) (HIPAA) regarding confidentiality of patient-related medical records and personal information.

**See Also:** Sponsored Project Records, Awarded; Patent Records

**Office of Record:** The funded unit that maintains research project records.

#### **Disposition Instructions:**

- a. Permanent. Transfer final technical reports or deliverables to the custody of the University Archives 3 years after project completion, or when released from all litigation, claims, or audits.
- b. Destroy in office remaining records 5 years after project end date and final payments, or when released from all litigation, claims, or audits.
- c. If the internally funded research project includes HIPAA covered research, retain the sponsored project agreement, research data and related documentation for a period of six years from last activity. If a Business Associate Agreement is involved, ensure a copy is on file with the Institutional Privacy Office with the underlying agreement before destruction.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office 3 years after completion of research project.

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**13.9 Live Tissue Research Records**

Records documenting the use of live tissue in research. This series may include but is not limited to: manifests, disposition logs, reports, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 7 years after final disposition of tissue is complete.

**13.10 Research Data Sets**

Data sets of information used to produce University compliance reports and/or other standard reports produced by any unit in the University. This series may include but is not limited to: electronic and hard copy data sets.

**Disposition Instructions:** Permanent, unless otherwise specified by terms of contract.

**13.11 Research Misconduct Review Records**

Records of research misconduct proceedings conducted by the University, which include, but are not limited to: records secured/sequestered by the University to address an allegation of research misconduct, records related to assessments of allegations, inquiry and investigation reports and records/evidence in support of those reports.

**Confidentiality:** Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records.

**Disposition Instructions:** Return original records sequestered as part of the research misconduct review to the original custodian seven years after completion of the research misconduct proceeding or if otherwise instructed by an applicable federal authority that the records can be returned sooner. Destroy in office all other records related to the research misconduct proceeding when the sequestered records are returned. The foregoing retention periods may be longer if litigation, claim, audit, or other action has been initiated by a University office and/or entity external to the University or a longer period is required by external sponsor terms and conditions.

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**13.12 Scientific Review Committee (SRC) Records**

Records documenting the administration of the University Research Council and its awards and funding to campus faculty and staff. This series may include but is not limited to: applications for awards, accounting information, reports, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of G.S. 66-152 and G.S. 132-1.2(1) a-d regarding the protection and confidentiality of trade secrets. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding the confidentiality of personnel records. Comply with provisions of 42 U.S.C. 1320d- 2(d)(2) (HIPAA) regarding confidentiality of patient-related medical records and personal information.

**Disposition Instructions:** Destroy in office three years after completion of the research if no litigation, claim, audit, or other action has been initiated by a University office and/or entity external to the University or retain for such longer period as may be required by any external sponsor terms and conditions. If the records relate to activities covered under HIPAA, retain for a period of six years from last activity.

**13.13 Sponsored Project Indirect Cost / Returned Overhead Records**

Records documenting the analysis of sponsored project indirect costs in order to prepare returned overhead figures for units and used to submit notification for the budget to be adjusted. This series may include but is not limited to: reports, and related documentation and correspondence.

**Office of Record:** Budget Office

**Disposition Instructions:** Destroy in office 5 years after final financial report is submitted and account is closed, unless otherwise specified as longer by terms of contract.

**REFERENCE COPY:**

Disposition Instructions: Destroy in office after 2 years.

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**13.14 Sponsored Project Proposal Records**

Records documenting sponsored project proposals written and submitted by the University. This series may include but is not limited to: draft and final copies of proposals, and related documentation and correspondence.

Disposition Instructions: Treat successful sponsored project proposals in accordance with series Sponsored Projects, Awarded. Destroy in office rejected proposals when reference value ends.

**REFERENCE COPY:**

Disposition Instructions: Destroy in office when reference value ends.

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**13.15 Sponsored Project Records, Awarded**



Records documenting the administration of sponsored projects awarded to the University. This series may include but is not limited to: notices of award, progress reports, sponsored project agreements, research data, and related documentation and correspondence.

**See Also:** Internally Funded Research Project Records, Sponsored Project Proposal Records, Effort Certification Records, Sponsored Project Accounting and Finance Records (Payable / Receivable), Patent Records

**Office of Record:** The Office of Sponsored Research maintains the official sponsored project records from which agency reviews are initiated. The administering unit of the sponsored project maintains data, progress reports, and the final technical report. Confidentiality: Comply with applicable provisions of G.S. 66-152 and 132-1.2(1) a-d regarding the protection and confidentiality of trade secrets.

**Disposition Instructions:**

- a. Transfer final reports, sponsored project documents, attachments, and proposals to the custody of University Archives 3 years after completion of the project and clearance from all litigation, claims, or audits.
- b. For sponsored projects funded by the state of North Carolina, dispose of remaining records 5 years after submission of final report and clearance from all litigation, claims, or audits.
- c. If the sponsored project includes HIPAA covered research, retain the sponsored project agreement, research data and related documentation for a period of six years from last activity. If a Business Associate Agreement is involved, ensure a copy is on file with the Institutional Privacy Office with the underlying agreement before destruction.
- d. Dispose of remaining records according to the requirements of the sponsoring agency and clearance for all litigation, claims, or audits.

**REFERENCE COPY:**

Disposition Instructions: Destroy in office when reference value ends.

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**13.16 Student Organization Grants Records**



Records documenting grants made by the University to student organizations for public service projects. This series may include but is not limited to: grant applications, review notes, award notifications, financial records concerning transfer of funds, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Permanent for applications and final reports for awarded grants. Transfer records to the custody of University Archives 5 years after grant end date.
- b. Destroy in office unfunded grant applications after 1 year.
- c. Destroy all remaining records in office after reference value ends.

**13.17 University Research Council Records**

Records documenting the administration of the University Research Council and its awards and funding to campus faculty and staff. This series may include but is not limited to: applications for awards, accounting information, reports, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent. Transfer records of awarded funds to the custody of University Archives 5 years after termination of award and when released from all audits or other official actions.
- b. Destroy in office all remaining records 3 years after release from all audits or other official actions.

## 14. Student—Academic Records

### 14.1 Accessibility Services Student Records



Records documenting application for and use of student accessibility services offered by UNC, such as services provided with individuals with learning disabilities. This series may include but is not limited to: applications, reports, releases, reviews, interviews, records of services used, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)), and G.S. 132-1.10 regarding confidentiality of social security numbers and other personally identifying information. Comply with G.S. 8-53 regarding confidentiality of physician-patient communications.

**See Also:** Services to Students with Disabilities Records

**Disposition Instructions:** Destroy in office 4 years after student enrollment ends.

### 14.2 Admissions Records



Records documenting student applications for admission to the University. This series may include but is not limited to: undergraduate and graduate applications, recommendations, transcripts, committee and review records, and related documentation and correspondence.

**Offices of Record:** Office of Undergraduate Admissions, the Graduate School

**Confidentiality:** Comply with G.S. 132-1.1 (f) regarding confidentiality of personally identifiable admissions information of non-enrolled students. Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Enrolled students, destroy in office letters of recommendation 3 years after admission, and reclassify remaining records as Undergraduate Student Academic Records or Graduate Student Academic Records when accepted.
- b. Non-enrolled students, destroy in office 1 year after application period if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.



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### **14.3 Class Lists**



Class lists documenting the names and other information of students enrolled in courses taught at the University.

**Confidentiality:** Comply with 20 U.S.C.1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Retain in Office of the University Registrar permanently.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office at end of semester or when reference value ends.

### **14.4 Commencement Records**

Records documenting University commencement exercises. This series may include but is not limited to: programs, attendance forms, planning records, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 1 year.

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#### **14.5 Credit by Examination Records**



Records documenting academic credits awarded to students by special examination. This series may include but is not limited to: examination results, transcripts, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**See Also:** Examinations, Tests, Term Papers and Course Work Records.

**Note:** Graduate student credit by examination records are part of the Graduate Student Academic Record Series.

**Disposition Instructions:** Retain in Office of the University Registrar permanently.

#### **REFERENCE COPY:**

**Disposition Instructions:** Transfer to Office of the University Registrar to be incorporated into official academic file.

#### **14.6 Drop/Add Forms**



Forms completed to drop or add students to courses after online registration has closed.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Office of Record:** Office of the University Registrar

**Disposition instructions:** Maintain in office permanently.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office 5 years after date submitted.

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#### **14.7 Enrollment and Grade Reports**



Records documenting enrolled students and grades earned, held by the University Registrar. This series may include but is not limited to: enrollment reports, distribution of grades by instructors reports, grade roll reports, graduate and professional school grade reports, and grade point average reports.

**Office of Record:** Office of University Registrar.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Permanent.

- a. Transfer 1 copy to the custody of University Archives as reports are generated.
- b. Retain 1 copy in Office of the University Registrar permanently.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office 1 year after distribution date.

#### **14.8 Examinations, Tests, Term Papers and Course Work Records**



Records documenting examinations, tests, term papers, and course work completed by students. This series may include but is not limited to: completed student examinations, tests, term papers, course work, grade books and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**See Also:** Credit by Examination.

#### **Disposition Instructions:**

- a. Destroy in office 1 year after completion of course for uncontested grade results.
- b. If challenged, destroy after resolution of challenge.

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**14.9 Excused Absence Records**



Records documenting student absences excused for health and other unavoidable reasons. This series may include but is not limited to: written excuses, doctor's notes, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 U.S.C. 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)), and G.S. 132-1.10 regarding confidentiality of social security numbers and other personally identifying information.

**Disposition Instructions:** Destroy in office at end of each semester.

**14.10 Extra Hour Registration Records**



Records documenting requests by students to register for extra hours. This series may include but is not limited to: requests, authorizations, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 1 year after date submitted.

**14.11 Family Educational Rights and Privacy Act Compliance Records (FERPA)**



Records documenting measures taken by UNC-Chapel Hill, UNC System Office and their units to comply with FERPA regulations. This series may include but is not limited to: requests for formal hearings, requests for the release of information, written decisions of hearing panel, waivers for rights of access, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974).

**Disposition Instructions:** Retain in office permanently.

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**14.12 Grade Change Appeal and Authorization Records**



Records documenting the appeal and change of course grades. This series may include but is not limited to: grade change appeal and authorization forms, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Retain forms in Office of the University Registrar permanently.
- b. Destroy in office remaining records after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office upon verification from Office of the University Registrar.

**14.13 Grade Rolls**



Grade rolls documenting student grades to be entered into the student's academic record.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records

**Disposition Instructions:** Retain in Office of the University Registrar permanently.

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**14.14 Graduate and Degree Listing Records**



Records documenting graduates from units, including class rank information. This series may include but is not limited to: prospective and actual graduate lists, class rankings, final copy of class rank book, and related documentation and correspondence.

**Office of Record:** Office of University Registrar and/or University Archives.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Permanent for final copy of undergraduate rank book and/or listings. Retain 1 copy in Office of the University Registrar permanently. Transfer 1 copy to the custody of University Archives when published.
- b. Permanent for final copy of graduate and professional student rank books and/or listings. Retain 1 copy in unit permanently. Transfer 1 copy to the custody of University Archives when published.
- c. Destroy in office remaining records when reference value ends.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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#### **14.15 Graduate Student Academic Records**



Records documenting the academic record of graduate students earning Masters or Doctoral degrees from the unit. This series may include but is not limited to: accepted applications, statements of purpose, writing/production samples (audio or video media), degree requirement materials, credit by examination records, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Office of Record:** Office of the University Registrar; Graduate School; schools, departments, or units.

**See Also:** Drop/Add Forms

**Note:** Records covered by this series may be maintained by multiple offices of record. Consult with other offices to determine whether your records are reference copies.

**Disposition Instructions:**

- a. Permanent for institutional academic transcripts, applications for admission, and official enrollment and grade change records of all enrolled students.
- b. Destroy in office remaining records of graduated students 5 years after degree awarded.
- c. Destroy in office remaining records 10 years after date last registered or date of last activity with the University.

**REFERENCE COPY:** the schools, departments, or units

**Disposition Instructions:**

- a. Destroy in office records 3 years after degree awarded for graduated students.
- b. Destroy in office remaining records 7 years after last date registered or date of last activity with the University.

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#### **14.16 Honor Court Records**



Records documenting membership functions of the Honor Court. This series may include but is not limited to: applications, selection criteria, position descriptions, training information, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Permanent for selection criteria, position descriptions, training information, policies and procedures. Transfer to the custody of University Archives when superseded or obsolete.
- b. Destroy in office applications and membership lists when reference value ends.

#### **14.17 International Student Records**



Records and documents required to verify the status and eligibility of international students. This series may include but is not limited to: Copy of Form I-20 "Certificate of Eligibility for Nonimmigrant Student Status," copy of alien registration receipt card, copy of Form I-94 "Arrival-Departure Record," copy of Form DS-2019 "Certificate of Eligibility for Exchange Visitor Status" (J-Nonimmigrant), statement of financial eligibility, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records, 8 C.F.R. 214.2(f)(6)(iii)(B), 8 C.F.R. 214.3(g), 8 C.F.R. 214.3(k), and 22 C.F.R. 62.10(h) regarding record-keeping requirements and confidentiality of records.

**Note:** Records are to be maintained separately from admissions process.

**Disposition Instructions:**

- a. Enrolled students, destroy in office 3 years after graduation or separation.
- b. Students applying for reinstatement, destroy in office three years from the date of the denial if the reinstatement is denied
- c. Non-enrolled, for whom Forms I-20 or DS-2019 have been issued, destroy in office 3 years after application term.



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**14.18 Name Change Records**

Records documenting name changes applied to a student's academic record. This series may include but is not limited to: name change forms, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 5 years after graduation or separation.

**14.19 Non-Traditional Students Information Records**



Records documenting information related to non-traditional students. This series may include but is not limited to: correspondence, handbooks, and surveys and studies.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Transfer to the custody of University Archives after 5 years.

**14.20 Pass / Fail Forms**



Forms used to declare the Pass/Fail option in a course.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 1 year after request submitted.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**14.21 Professional Credentialing Records**



Records documenting and supporting application for professional certificates or licenses. This series may include but is not limited to: applications, registrations, evidence of completion of practicum, transcripts, narrative evaluations of practicum, completion of hours for certification, recommendations, evaluations, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 5 years after graduation or separation.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**14.22 Program Progression Appeal Records**



Records documenting appeals to program progression requirements. This series may include but is not limited to: forms, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Transfer outcome of appeal to Office of the University Registrar.
- b. Destroy in office remaining records 5 years after resolution of appeal.

**14.23 Repeat Course Records**



Records documenting students' attempts to repeat courses in order to raise grades. This series may include but is not limited to: requests, approvals, disapprovals, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 2 years.

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#### **14.24 Residency Records**



Records documenting applications for in-state residency approval. This series may include but is not limited to: information and records maintained in the online application database, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Note:** Appeals to decisions are maintained in the official student record maintained by the Office of University Registrar. Graduate student residency records are part of the Graduate Student Academic Records Series.

**Disposition Instructions:**

- a. Destroy in office applications for students who do not enroll 1 year after date of application.
- b. For students who do enroll, graduate student materials revert to the Graduate Student Academic Records Series and undergraduate student materials destroy in office 5 years after graduation or separation.

#### **14.25 Student Academic Advising and Counseling Records**



Records documenting personal and academic counseling of students. This series may include but is not limited to: advisors' notes and reports, transcripts, grades, class schedules, academic test reports, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Note:** For graduate students, this material is part of the student's official record, so it would be handled as described in Graduate Student Academic Records.

**Disposition Instructions:** Destroy in office 5 years after graduation or separation.

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**14.26 Student Academic Common Market Participant Records**



Records documenting individual residency certification for entrance into the Academic Common Market and other programs that provide residency status to North Carolina students in out-of-state programs. This series may include but is not limited to: student applications, and related documentation and correspondence. *Note: this series applies only to historic records: the UNC System has not been a participant in the Academic Common Market since 2011.*

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Note:** Graduate student records fall under the Graduate Student Academic Records series.

**Disposition Instructions:** UNC System Office records: destroy in office 6 years after residency certification process is completed if no litigation, claims, audits, or other official actions involving the records have been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

**14.27 Student Awards and Honors Records**



Records documenting awards and honors awarded to students. This series may include but is not limited to: recommendations, approvals, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Transfer information concerning recipients of awards and honors to the Office of the University Registrar at end of each grading period to be incorporated into official academic file.
- b. Permanent. Transfer remaining records to the custody of University Archives after 5 years.

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**14.28 Student Biography Records**



Records documenting graduate and undergraduate student biographies. This series may include but is not limited to: biographies; lists of names and contact information; and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 3 years.

**14.29 Student Services System**



Integrated management system for student services, also known as ConnectCarolina.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Update data routinely and follow relevant record series retention periods listed in this section.

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**14.30 Study Abroad Academic Records**



Records (including some reference copies) documenting the academic performance of students enrolled in Study Abroad programs. This series may include but is not limited to: recommendations, transcripts, applications for admission, academic advising worksheets, pass/fail forms, placement test scores, transfer equivalency records, contracts for placement, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Office of Record:** Office of the University Registrar and Study Abroad Office.

**See Also:** Study Abroad Activity Records

**Disposition Instructions:**

- a. Retain official transcripts and credit reports from study abroad enrollment permanently.
- b. Destroy in office remaining records 10 years after student application to the Study Abroad program.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

**14.31 Study Abroad Activity Records**



Records documenting Study Abroad Office activities used for tracking and statistical purposes. This series may include but is not limited to: student contact information, placement information, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Office of Record:** Study Abroad Office

**See Also:** Student Study Abroad Academic Records

**Disposition Instructions:** Destroy in office individual records 10 years after student application to the Study Abroad program.

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#### **14.32 Student Survey Records**



Records documenting student surveys conducted by the University and its units. This series may include but is not limited to: completed student surveys, summary reports, conclusions, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with applicable provisions of G.S. 126-22, 126-23, and 126-24 regarding confidentiality of personnel records.

**Disposition Instructions:**

- a. Permanent for results and conclusions. Transfer to the custody of University Archives after 5 years.
- b. Destroy in office surveys and working papers when reference value ends.

#### **14.33 Student Teaching Certification Records**



Records documenting the certification process for students participating in student teaching programs. This series may include but is not limited to: applications, transcripts, check sheets, grades, class schedules and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Retain in Office of the University Registrar permanently.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 5 years after graduation or separation.

#### **14.34 Student Waivers for Rights of Access to Letters of Recommendation**



Waivers for requesting access letters of recommendation held in a student's academic record.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office when letters of recommendation are destroyed.

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**14.35 Theses and Dissertations**

Record copies of theses and dissertations completed by UNC students. This series may include but is not limited to: theses and dissertations.

**Office of Record:** University Library.

**Disposition Instructions:** Retain one copy at the University permanently.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy when reference value ends.

**14.36 Transcript Request Records**



Records documenting requests for transcripts by students and other institutions. This series may include but is not limited to: transcript request forms, invoices, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 1 year after date submitted.

**14.37 Transcripts**



Transcripts documenting the academic record of and degrees awarded to students.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Retain in Office of the University Registrar permanently.



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**14.38 Transfer Equivalents Records**



Records documenting grade transfer equivalents from other institutions. This series may include but is not limited to: correspondence, transcripts, lists of credit hours earned, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Retain in Office of the University Registrar permanently.

**14.39 Undergraduate Professional School Admissions**



Records documenting undergraduate student applications to professional schools within the University. This series may include but is not limited to: applications, recommendations, essays, resumes, and transcripts.

**Office of Record:** the professional schools

**Note:** This series covers applications submitted to UNC professional schools by undergraduate students already admitted to and enrolled in the University.

**Confidentiality:** Comply with G.S. 132-1.1 (f) regarding confidentiality of personally identifiable admissions information of non-enrolled students. Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. For students who enroll in the school, destroy admissions records 2 years after graduation or separation from the professional school.
- b. Destroy records of non-enrolled students (those whose applications are rejected or who are accepted and choose not to enroll) 2 years after the end of the application cycle if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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**14.40 Undergraduate Student Academic Records**



Records documenting the academic record of undergraduates earning degrees from the unit. This series may include but is not limited to: applications, advanced placement test results, degree audit documents, entrance exam reports and test scores, drop/add forms, petition waivers, major/minor declarations, independent study approvals, class audit permission, withdrawal forms, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Office of Record:** Office of the University Registrar.

**See Also:** Drop/Add Forms

**Disposition Instructions:** Permanent. Retain in Office of the University Registrar.

**REFERENCE COPY:** the schools, departments, or units.

**Disposition Instructions:** Destroy in office records 5 years after degree awarded or date last registered.

**14.41 Upward Bound Student Records**



Records documenting the participation and performance of students enrolled in the Upward Bound Project. This series may include but is not limited to: recommendations, transcripts, applications for admission, recommendations, original academic advising worksheets, honors and awards received, comprehensive examination results, placement test scores, releases for participation, medical history, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Destroy in office inactive (dropouts) student records 5 years after date of last activity.
- b. Retain in office Annual Performance Report (Cumulative) folder and Application folder until reference value ends.
- c. Destroy in office remaining student records 7 years after completion of program.

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**14.42 Visiting Scholar, Intern, Fellow, and Volunteer Records**



Academic and personnel records of visiting scholars, interns, assistants, fellows, docents, and volunteers not paid by the University. This series may include but is not limited to: applications, approvals, background checks, affiliate forms, liability release forms, volunteer request forms, credit earned, accounting records, award notifications, eligibility criteria, guidelines and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**See Also:** Visiting Scholar Program Records, Volunteer and Docent Program Records

**Note:** Interns, assistants, fellows, and visiting scholars who are paid by the University are temporary employees. See series on Subject to the State Human Resources Act (SHRA) Personnel Records for temporary SHRA employee records and series on Exempt from the State Human Resources Act (EHRA) Personnel Records for temporary EHRA employee records.

**Offices of Record:** Office of the University Registrar, Office of Human Resources, Unified Business Clusters, individual schools, departments, and offices.

**Disposition Instructions:**

- a. Transfer academic information regarding individuals to the Office of the University Registrar and fiscal information to Business Affairs (if applicable) at end of each grading period.
- b. Destroy in office remaining records after 5 years.

**REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

## 15. Student—Financial Aid Records

### 15.1 Fee Assessment Forms



Fee assessment forms used to determine fees charged to students.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 5 years after graduation or separation.

### 15.2 Financial Aid Administrative Records



Records documenting the administration of federal and state student financial aid. This series may include but is not limited to: applications, participation agreements, recommendations, tax returns, guidelines, award notifications, eligibility criteria, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records and G.S. 105-259 and G.S. 132-1.1(b) concerning confidentiality of tax and account information. Comply with applicable provisions of G.S. 132-1.1(f) regarding confidentiality of non-enrolled student records.

**Disposition Instructions:** Destroy in office 3 years after graduation or separation.

### 15.3 Financial Aid Recipients Records



Records documenting the awarding of federal and state student financial aid. This series may include but is not limited to: eligibility criteria, GPA record, financial history, disbursement reports, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records and G.S. 105-259 and G.S. 132-1.1(b) concerning confidentiality of tax and account information. Comply with applicable provisions of G.S. 132-1.1(f) regarding confidentiality of non-enrolled student records.

**Disposition Instructions:** Destroy in office 3 years after graduation or separation.

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#### **15.4 Financial Aid Reports**

Summary reports submitted to the Chancellor and administration on yearly awards.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 3 years.

#### **15.5 Loan Administration Records**



Records documenting the administration of loans. This series may include but is not limited to: promissory notes, enrollment verification, accounting statements, cancellation requests, disbursement records, repayment records, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 3 years from date loan assigned, cancelled, or repaid, or in compliance with federal regulations, whichever occurs later.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office after 2 years.

#### **15.6 Scholarship Administration Records**



Records documenting the administration of student scholarships. This series may include but is not limited to: guidelines, reports, funding sources, trust fund withdrawals, description of scholarships, names of students, accounting records, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 3 years after graduation or separation.

#### **REFERENCE COPY:**

**Disposition Instructions:** Destroy in office when reference value ends.

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**15.7 Scholarship and Grant Applications (NCSEAA)**



Records documenting student applications for scholarships and/or grants administered by North Carolina State Education Assistance Authority (NCSEAA). This series may include but is not limited to: applications, recommendations, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Destroy in office denied applications 1 year after date application deadline.
- b. Destroy in office awarded scholarship/grant applications 3 years after student graduation or date of last activity, whichever occurs later.

**15.8 Scholarship and Grant Records (NCSEAA)**



Records documenting scholarships and grants administered by the North Carolina State Education Assistance Authority (NCSEAA). This series may include but is not limited to: reports, award notices, regulations, program summaries, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Permanent for program records. Transfer to the custody of University Archives after 5 years and when released from all audits.
- b. Destroy grant profile reports in office and all other related records 1 year after application cycle if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues resolved.

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### **15.9 Scholarship and Loan Reference Records**

Records documenting describing scholarships and loans. This series may include but is not limited to: brochures, flyers, requirements, guidelines, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives when superseded or obsolete.

### **15.10 Scholarship Records**



Records documenting applications for and distribution of scholarships awarded by the University. This series may include but is not limited to: acknowledgement of gifts, conditions of scholarship, applications, recommendations, names of recipients, disbursements, accounting records, photographs, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records, and G.S. 105-259, G.S. 153A-148.1, and G.S. 160A-208.1 and G.S. 132-1.1(b) regarding confidentiality of tax and related records.

**Disposition Instructions:**

- a. Destroy in office financial records after 3 closed fiscal years.
- b. For awarded scholarships, destroy in office all applications, approvals, recommendations, and correspondence related to scholarships, 3 closed fiscal years after graduation or separation and when released from all audits.
- c. For rejected applications, destroy in office all applications, recommendations, and correspondence related to scholarships, 5 closed fiscal years after graduation or separation and when released from all audits.

Permanent for remaining records. Transfer to the custody of University Archives when reference value ends.

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**15.11 Student Award and Borrower Information Systems (Databases)**



Records documenting the administration of student scholarship and grant awards and loans. This series may include but is not limited to: applicant and recipient names and biographical information, application, and supporting documentation, application review records, award amounts, repayment records, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. For scholarship and grant awards, destroy in office 3 years from student graduation date or date last attended.
- b. For loans, destroy in office 3 years from date loan assigned, cancelled, or repaid, or in compliance with federal regulations.

**15.12 Veterans' Benefits Records**



Records documenting veterans' benefits awarded to University students. This series may include but is not limited to: accounting statements, applications, enrollment verifications, award notifications, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974).

**Disposition Instructions:** Destroy in office 3 years after graduation or separation.

**15.13 Work Study Program Administrative Records**



Records documenting the administration of the Federal Work Study program at the institution. This series may include but is not limited to: job descriptions, award letters, pay rate change notices, and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 3 years.



## 16. Student—Health and Counseling Records

### 16.1 Controlled Drug Administrative Records

Records documenting the receipt and control of controlled drugs by Health Center personnel. This series may include but is not limited to: inventories, logs, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office 3 years after released from all audits.

### 16.2 Immunization Incomplete Log



Incomplete immunization logs from Student Health Services.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)). Comply with G.S. 8-53 regarding confidentiality of patient-physician communications.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

### 16.3 Laboratory Results Records



Records documenting results of laboratory tests. This series may include but is not limited to: test results and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)). Comply with G.S. 8-53 regarding confidentiality of patient-physician communications.

**Disposition Instructions:** Destroy in office after 7 years.

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**16.4 Patient Appointment Records (Student)**



Records documenting time and date of and reason for patient appointments. This series may include but is not limited to: appointment books and databases, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)). Comply with G.S. 8-53 regarding confidentiality of patient-physician communications.

**Disposition Instructions:** Destroy in office after 1 year.

**16.5 Student Counseling Records**



Records documenting the administration of the Center for Counseling and Student Development clients. This series may include but is not limited to: case notes, test results, treatment plans, referrals, evaluations, case summaries, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)). Please also consult applicable guidelines from the American Psychological Association. Comply with G.S. 8-53 regarding confidentiality of patient-physician communications.

See Also: Student Medical Records and Student Mental Health Records.

**Disposition Instructions:**

- a. Destroy in office case summaries after 10 years.
- b. Destroy in office remaining records 7 years after client's last visit.

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**16.6 Student Immunization Records**



Records documenting immunizations received on campus. This series may include but is not limited to: immunization records, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)). Comply with G.S. 8-53 regarding confidentiality of patient-physician communications.

**Disposition Instructions:** Permanent.

**16.7 Student Medical Records**



Records documenting student medical history. This series may include but is not limited to: medical charts, name, medical history, accidents reports, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)). Comply with G.S. 8-53 regarding confidentiality of patient-physician communications.

**See Also:** Student Mental Health Records and Student Counseling Records.

**Disposition Instructions:** Destroy in office 11 years after last professional contact with patient.

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**16.8 Student Mental Health Records**



Records documenting student mental health counseling, including substance abuse counseling. This series may include but is not limited to: psychiatric and/or psychological information, notes of practitioner, diagnosis and treatment, referral letters, and release of information agreement.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)).

**See Also:** Student Medical Records and Student Counseling Records.

**Disposition Instructions:** Destroy in office 7 years after last professional contact with patient.

**16.9 Substance Abuse Program Administration**



Records documenting the administration of substance abuse programs for students. This series may include but is not limited to: attendance rosters, compliance status, reports and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)).

**Disposition Instructions:**

- a. Permanent for statistical reports. Transfer to the custody of University Archives when reference value ends.
- b. Destroy in office remaining records after 4 years.

## 17. Student—Housing Records

### 17.1 Student Guest Sign-in Logs

Sign-in logs documenting the guests of residential students.

**Disposition Instructions:** Destroy in office after 2 years.

### 17.2 Student Housing Appeals



Records documenting decisions on refunds and/or dismissal of housing deposits and other charges. This series may include but is not limited to: policies, decisions, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 1 year after settlement of appeals.

### 17.3 Student Housing Applications



Records documenting applications to live in on-campus student housing. This series may include but is not limited to: applications, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 1 year.

### 17.4 Student Housing Contracts



Records documenting student housing contracts. This series may include but is not limited to: contracts, cancellations, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 3 years after termination of agreement.

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**17.5 Student Housing Damages Records**



Records documenting damages to student residence halls and assessment of costs. This series may include but is not limited to: damage assessment forms, reports, damage assessment forms, reports, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:**

- a. Transfer records concerning individual damage assessments to Office of the University Registrar and Business Affairs.
- b. Destroy in office remaining records after 3 years.

**17.6 Student Housing Disciplinary Action Records**



Records documenting disciplinary actions brought against students for alleged violations of University rules and regulations found in student housing contracts. This series may include but is not limited to: disciplinary action report form, reports, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 5 years after resolution.

**17.7 Student Housing Security Reports**

Records documenting housing security and conditions. This series may include but is not limited to: security reports and condition reports with resulting list of repairs to be made, and related documentation and correspondence.

**Disposition Instructions:** Destroy in office after 3 years if no litigation, claim, audit, or official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of the issues involved.

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**17.8 Student Key Receipts**

Signature cards and receipts documenting the issuance of keys to students and conference attendees.

**Disposition Instructions:** Destroy in office after 1 year.

**17.9 Student Summer School Housing Records**



Records documenting housing available during summer session. This series may include but is not limited to: applications, contracts, cancellations, damages lists, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 3 years.

## 18. Student Life Records

### 18.1 Disciplinary Records



Records of all disciplinary actions and sanctions imposed by the Instrument of Student Judicial Governance (“Instrument”), the University’s Alcohol Policy, or the Policy on Prohibited Discrimination, Harassment, and Related Misconduct brought against students. This series may include but is not limited to: charges, evidence, summary, transcripts, audiotapes, police reports, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974), Student Conduct Code and appeals process regarding confidentiality of student records.

**Office of Record:** Records of all disciplinary actions and sanctions imposed by the Instrument of Student Judicial Governance shall be maintained by the Office of Student Conduct as part of the student’s disciplinary record. All disciplinary actions and sanctions imposed by the University’s Alcohol Policy shall be maintained by the Office of Student Conduct and the Department of Housing and Residential Education as part of a student’s disciplinary record. Records of all disciplinary actions and sanctions imposed by the Policy on Prohibited Discrimination, Harassment, and Related Misconduct shall be maintained by the Equal Opportunity and Compliance Office as part of a student’s disciplinary record.

#### **Disposition Instructions:**

- a. Records of cases where student disciplinary action has been completed and the student is reinstated to good standing: Destroy in office 7 years from the date of the final action if no additional litigation, claim, audit, or other official action has been initiated.
- b. Records of cases that were adjudicated and the student charged was found not responsible: Destroy in office 7 years from the date of the final action if no additional litigation, claim, audit, or other official action has been initiated.
- c. Records documenting expulsion, permanent suspension, and indefinite suspension/probation: Destroy in office 75 years after the date of the final action.
- d. Records of closed cases in which no action against the student: Destroy in office 75 years after the date on which the case was determined to be closed.



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### **18.2 Fraternities and Sororities Records**



Records documenting the histories of fraternities and sororities. This series may include but is not limited to: charters, discipline, membership, reports, photographs, scrapbooks, and related documentation and correspondence.

**Confidentiality:** Comply with applicable provisions of 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 years.

### **18.3 Intramural Sports Records**

Records documenting the planning, implementation and operation of intramural sports programs for students, faculty and staff. This series may include but is not limited to: applications, rosters, enrollment records, activity records, medical waivers, handbooks, reports, promotional and publicity materials, photographs, scrapbooks, and related documentation and correspondence.

**Disposition Instructions:**

- a. Permanent for handbooks, reports, promotional and publicity materials, photographs, and scrapbooks. Transfer to the custody of University Archives when reference value ends.
- b. Destroy in office remaining records after 3 years.

### **18.4 Meeting Notes (Emergency Evaluation and Action Committee)**



Notes taken at the meetings of the Emergency Evaluation and Action Committee and used to support actions taken and decisions made by the committee.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)).

**Disposition Instructions:** Destroy records in office after 10 years.

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**18.5 Services to Students with Disabilities Records**



Records documenting University sponsored services available to students with disabilities. This series may include but is not limited to: health professional evaluation reports, autobiographical essays, copies of admission applications, high school transcripts, physicians' statement, counseling interview notes, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d)(2) (Health Insurance Portability and Accountability Act (HIPAA)). Comply with G.S. 8-53 regarding confidentiality of patient-physician communications.

**See Also:** Learning Disability Student Records

**Disposition Instructions:** Destroy in office 4 years after graduation or separation.

**18.6 Student Accident Reports**



Records documenting accidents involving students. This series may include but is not limited to: affidavits, photographs, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office after 7 years.

**18.7 Student Associations and Organizations Records**

Records documenting student associations and organizations officially recognized by the University. This series may include but is not limited to: constitutions, by-laws, newsletters, minutes, brochures, announcements, photographs, reports, scrapbooks, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 1 year.

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**18.8 Student Case Files (Emergency Evaluation and Action Committee)**



Records documenting the actions of the University's Emergency Evaluation and Action Committee and used to evaluate students placed under the committee's review. This series may include but is not limited to: mental health evaluations, incident and police reports, court documents, grade summaries and transcripts, recommendations, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records. Comply with 42 USC 1320d-2(d) (2) (Health Insurance Portability and Accountability Act (HIPAA)).

**Disposition Instructions:**

- a. Expulsion, degree revocation, and negative notation on transcript cases: Destroy in office 50 years after the initial incident.
- b. Other cases: Destroy in office 5 years after date of settlement or hearing.

**18.9 Student Government Association Records**

Records documenting constitution, by-laws, committee files, correspondence, fiscal records, meeting minutes, and annual reports.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 1 year.

**18.10 Student Legal Services Case Records**



Records documenting University sponsored legal services offered to students. This series may include but is not limited to: reports, transcripts, opinions, and related documentation and correspondence.

**Confidentiality:** Comply with 20 U.S.C. 1232g (Family Educational Rights and Privacy Act (FERPA) of 1974) regarding confidentiality of student records.

**Disposition Instructions:** Destroy in office 6 years after completion of action and resolution of all issues, unless the client authorized earlier destruction.

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**18.11 Student Legal Services Records**

Records documenting the administration of Student Legal Services. This series may include but is not limited to: reports, financial data, budgets, and related documentation and correspondence.

**Disposition Instructions:** Permanent. Transfer to the custody of University Archives after 5 years.

## **Appendix A: Managing Email Records at UNC-Chapel Hill**

This Email Retention Policy serves as a supplement to the General Records Retention and Disposition Schedule for The University of North Carolina at Chapel Hill ("UNC-Chapel Hill").

### **Purpose**

This addendum to the UNC General Records Retention and Disposition Schedule recognizes the unique and complicated nature of records in e-mail and the challenges posed in managing e-mail records. This addendum will ensure that e-mail records of historical significance are preserved while limiting the unnecessary storage of duplicate and non-permanent records.

### **Scope of Applicability**

This Policy applies to all UNC-Chapel Hill employees who use email to conduct University business and includes email messages and/or attachments to email messages. Recognizing that most University business is now conducted over email and acknowledging the difficulty of carefully managing email records on a message by message basis, this Policy provides a new approach to the retention and disposition of email records at UNC-Chapel Hill.

### **Policy Statement**

UNC-Chapel Hill is adopting a "Capstone" approach to managing email records. First established by the National Archives and Records Administration in 2013, the Capstone approach enables agencies to collect email of permanent historical value based on an employee's position and function rather than the content of individual email messages. Under this approach, email records created and received by employees in selected administrative positions will automatically be retained as permanent records in the University Archives. All other email accounts will be retained for a period of five years after the employee leaves the University and then discarded.

At UNC-Chapel Hill, Capstone positions are identified based on the responsibilities of the position and the likelihood that the individuals in those positions will send or receive permanent official records in email. Most senior administrative positions have been identified for email retention. A list of Capstone positions is provided in Appendix A to this addendum.

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Employees in Capstone positions have the following responsibilities regarding their email records:

- They must retain all official University correspondence sent and received in their email accounts, including all relevant attachments.
- Personal and transitory<sup>1</sup> messages can be deleted.
- Email messages with content that is not identified in the General Records Retention and Disposition Schedule for permanent retention may be deleted by the employee after the period specified in the records schedule.

Once an employee begins work in a position designated as a Capstone position, the employee's campus email will be flagged for retention from that point forward. If the employee has held multiple positions at the University, University Archives may decide to retain email only from those years when the employee was in a Capstone position.

Employees whose jobs have **not** been designated as Capstone positions still have responsibilities regarding the management and retention of email records, including the following:

Even though an employee may not be in a Capstone position, the employee may still send or receive records via email that are required to be transferred to the University Archives for permanent retention, as described in the General Records Retention and Disposition Schedule. Employees must ensure that these records are retained by one of the following methods:

- Exporting relevant email records and attachments from Outlook and transferring to University Archives when appropriate (employees should contact University Archives for more information about evaluating and transferring email);
- Ensuring that relevant email records and attachments are stored outside of an email account on UNC-Chapel Hill network storage and transferred to University Archives after the period described in the General Records Retention and Disposition Schedule; or
- Printing and filing relevant email records and attachments and transferring them to University Archives after the period described in the General Records Retention and Disposition Schedule.

Some departments may need to retain email records and attachments for former employees longer than the five year period specified in this Policy. Reasons for longer retention may include federal guidelines for certain types of records, grant instructions,

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audits, or legal holds. If an employee knows of email records of former employees that should be retained longer than five years after the employee leaves the University, it is the responsibility of the current employee to notify their department head so that they can alert University Archives and Information Technology Services prior to the end of the five-year period after the employee leaves the University and make arrangements to obtain and store the affected records.

### **Access to Email Records**

The University Archives recognizes that most – if not all – of the email accounts flagged for permanent retention will include messages that contain private or confidential information. This Policy only addresses preservation of the email accounts. It is not the intent of the Policy to make all Capstone email accounts fully viewable once they are transferred to the custody of University Archives. University Archives will continue to follow all University, state, and federal guidelines regarding the privacy of protected information. In collaboration with other departments on campus, including the Office of University Counsel, the Public Records Office, Information Privacy Office, and Information Technology Services, the University Archives will develop and share procedures for providing access to email records scheduled for permanent retention without disclosing contents that need to remain closed.

### **Applicability**

These guidelines will go into effect as soon as they are approved by all of the signatories on the UNC-Chapel Hill General Records and Retention Schedule. The guidelines will be retroactive and will enable the deletion of all non-Capstone email accounts older than five years that are not subject to legal holds.

### **Identifying Capstone Positions at UNC-Chapel Hill**

Capstone positions at UNC-Chapel Hill will be identified based on an employee's position in the campus organizational structure. In addition to the Board of Trustees and the Chancellor, Capstone positions will include all direct reports to the Chancellor and the Provost. Additional positions may be identified by the University Archives when necessary.

A list of current Capstone positions is attached to this policy as an appendix. This list may change as the campus organizational structure changes. The University Archives will continue to use the organizational and reporting structure as a primary guideline in identifying accounts to preserve. For example, if a new administrative position is created within the Chancellor's office, that position will automatically be identified as a Capstone position and that employee's email will be marked for permanent retention.

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The University Archives, in cooperation with other campus offices, will conduct a full review of positions identified for email retention every five years and will update the list of positions as necessary.

**APPENDIX A: "Capstone" Positions at The University of North Carolina at Chapel Hill**

Top-level accounts:

Board of Trustees (all members)  
Chancellor

Chancellor's Office

Chair of the Faculty  
Chair of the Employee Forum  
Secretary of the University  
Chief of Staff  
Vice Chancellor for Finance & Administration  
Director of Athletics  
Vice Chancellor & General Counsel  
Vice Chancellor for Communications & Public Affairs  
Vice Chancellor for University Development  
Vice Chancellor for Innovation, Entrepreneurships, & Economic Development  
Vice Chancellor for Medical Affairs  
Executive Vice Chancellor & Provost  
Vice Chancellor for Workforce Strategy, Equity, & Engagement  
Vice Chancellor for Information Technology & CIO  
Vice Chancellor for Student Affairs  
Vice Chancellor for Research  
Chief Audit Officer  
University Ombuds  
Chief Diversity Officer  
Special Assistant to the Chancellor for the Arts  
Director of Ethics Education & Policy Management

Provost's Office

University Librarian  
Vice Provost for Enrollment & Undergraduate Admissions  
Associate Provost & Director, Scholarships and Student Aid  
Assistant Provost and University Registrar  
Assistant Provost, Academic Support Program for Student Athletes



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Dean, College of Arts & Sciences  
Dean, Kenan-Flagler Business School  
Dean, School of Education  
Dean, School of Government  
Dean, School of Media and Journalism  
Dean, School of Information and Library Science  
Dean, School of Law  
Dean, School of Social Work  
Dean, Graduate School  
Dean, Summer School  
Dean, School of Dentistry  
Dean, School of Medicine  
Dean, School of Nursing  
Dean, Eshelman School of Pharmacy  
Dean, Gillings School of Global Public Health  
Executive Vice Provost & Chief International Officer  
Vice Provost for Academic Initiatives  
Vice Provost for Finance and Academic Planning  
Associate Provost for Strategy and Special Projects  
Associate Provost for Finance  
Associate Provost & Director of Institutional Research & Assessment  
Director of Academic Personnel

## Appendix B: North Carolina State Approving Agency for Veterans and Military Education Program

This appendix applies only to records of the North Carolina State Approving Agency (NCSAA) for Veterans and Military Education. The NCSAA is an independent state agency affiliated with the UNC System. Records of the NCSAA are housed at the State Archives of North Carolina.

### **ITEM Approvals File**

**50795** Records concerning approvals of veterans and military education programs in public and independent universities, independent senior and junior colleges, and professional schools; public community colleges, technical colleges, and technical community colleges; barber, beauty, Bible, business, flight, hospital, nursing, trade, truck driving, and other occupational schools; public senior high schools; and approvals of students' special or independent study programs. File includes applications with supplements and addenda, notices of approval, additions and revisions to approvals, bulletins and curriculum catalogs, evaluation reports, correspondence, advisory materials, and other related records. Names, locations, and types of schools; names of critical contacts; whether school is accredited or non-accredited; and other related data are entered into Institutions Profile (Electronic) File (Item 37516) and routinely updated. (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of records.)

**Disposition Instructions:** Destroy in office advisory materials, bulletins, and curriculum catalogs when reference value ends. Destroy in office records concerning approvals of students' special or independent study programs after 3 years. Transfer remaining records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 4 additional years and then transferred to the custody of the Archives.

### **ITEM Department Of Veterans Affairs Monthly Reports File**

**1488** Monthly reports listing active institutions, approval actions, staff visits to institutions participating in the program, discrepancies, cancellations of approvals, and other related information. File also includes cumulative end-of-fiscal-year reports.

**Disposition Instructions:** Destroy in office after 3 years.

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**ITEM Departmental Correspondence File**

**37507** Correspondence concerning programs and activities of the office.

**Disposition Instructions:** Retain in office permanently.

**ITEM Institutions Profile (Electronic) File**

**37516** Electronic records concerning annual approvals of veterans' and military education programs at institutions of higher learning, community colleges, out-of-state schools on North Carolina military bases, high schools, and occupational schools; and approvals of students' special or independent study programs. File includes data fields consisting of names, locations, and types of schools; names of critical contacts; whether school is accredited or non-accredited; and other related data. (Comply with applicable provisions of 20 USCA 1232g regarding confidentiality of records.)

**Disposition Instructions:** Purge data fields after 7 years.

**ITEM North Carolina State Approving Agency Subject File**

**37511** Records concerning subjects of interest to the office. File includes correspondence to and from associations and organizations, other state and federal agencies, boards and commissions, and congressional offices; publications; meeting announcements; program brochures; and other related records.

**Disposition Instructions:** Destroy in office after 5 years.

**ITEM Office Administration File**

**37512** Records concerning the administration and operations of the office. File includes subscriptions, directories, and other related records.

**Disposition Instructions:** Destroy in office when reference value ends.

**ITEM Pending File**

**37513** Records concerning pending approval of schools to participate in veterans and military education programs. File includes applications, correspondence, transmittal letters, and other related records.

**Disposition Instructions:** Transfer records concerning approved schools to Approvals File (Item 50795) when approval is granted. Destroy in office remaining records when superseded or obsolete.

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**ITEM     Projects File**

**37517**     Records concerning projects undertaken by the office to implement changes to laws or regulations or to keep approvals current. File includes correspondence, distribution memorandums, control files, and other related records.

**Disposition Instructions:** Destroy in office when reference value ends.

**ITEM     Regulations And Guidelines Notebooks File**

**17066**     Notebooks containing reference copies of federal and state regulations, guidelines, and standards for the administration of veterans' and military education programs.

**Disposition Instructions:** Destroy in office when superseded or obsolete.

**ITEM     Speeches File**

**50796**     Records concerning speeches delivered by the Executive Director. File includes invitations to events and speeches.

**Disposition Instructions:** Transfer records to the State Records Center after 3 years. Records will be held for agency in the State Records Center 4 additional years and then transferred to the custody of the Archives.

**ITEM     Staff Meetings File**

**50797**     Records maintained by the office to document policies. File includes agendas, handouts, notes, and other related records.

**Disposition Instructions:** Transfer to the State Records Center after 3 years. Records will be held for agency in the State Records Center 4 additional years and then transferred to the custody of the Archives.

**ITEM     Veterans Education Program File**

**37520**     Records concerning veterans education programs and the Department of Veterans Affairs. File includes correspondence, publications, meeting announcements, and other related records.

**Disposition Instructions:** Destroy in office when superseded or obsolete.