

# **General Records Retention Schedule**

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## **Oregon State University**

Responsible Office:

Special Collections and Archives Research Center, OSU Libraries and Press

Effective:

July 1, 2015

With Revisions Effective:

May 10, 2021

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## Introduction and Revision History

This General Records Retention Schedule (“General Schedule”) sets a minimum retention period for each category of record described herein per University Standard 04-010 for Records Retention at Oregon State University (effective January 2, 2019).

The University Standard is available online here:

[https://policy.oregonstate.edu/UPSM/04-010\\_records\\_retention](https://policy.oregonstate.edu/UPSM/04-010_records_retention)

It is also available as a PDF:

[https://policy.oregonstate.edu/sites/policy.oregonstate.edu/files/04-010\\_records\\_retention.pdf](https://policy.oregonstate.edu/sites/policy.oregonstate.edu/files/04-010_records_retention.pdf)

Per section 5.1.1 of the University Standard 04-010 for Records Retention:

In the event of an active public records request, subpoena, litigation discovery request, audit, internal or external investigation, state or federal information request, or litigation or other legal hold, halt any scheduled disposal activities, including purging or transferring materials to the Special Collections and Archives Research Center until further instructed.

The following additions and changes were made to the General Records Retention Schedule effective May 10, 2021:

- Update of references and links to the University Standard (04-010) for Records Retention.
- Addition of statement to the introduction regarding halting of scheduled disposal activities.
- Modification of the schedule format to indicate the effective date for specific records.
- Addition of the following records to Section 2 (Finance and Administration) and associated re-numbering:
  - Background Check Records
  - Child and Youth Program Participant Records
  - Volunteer Service Records
- Revision to Student Academic History Records (Centralized) to remove “(Centralized)” and add records that are not typically part of the records held by the Office of the Registrar.
- Addition of the following records to Section 1 (Academic Programs and Student Records) and associated renumbering:
  - Course Records
  - Examinations, Tests, Term Papers, and Homework Records

Questions regarding the General Schedule should be directed to:

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## Section 1: Academic Programs and Student Records

### 1.1 Academic Program Reviews *Effective: July 1, 2015*

Minimum retention: 15 years

*May include records with long-term administrative or historical value.\**

Document periodic reviews of individual undergraduate and graduate degree programs by campus and off-campus sources.

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### 1.2 Academic Regulations *Effective: July 1, 2015*

Minimum retention: 15 years after superseded

*May include records with long-term administrative or historical value.\**

Regulations and procedures that provide information essential for students to plan and pursue their academic programs. Academic regulations are approved by the Faculty Senate.

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### 1.3 Annual Program Assessment Reports *Effective July 1, 2015*

Minimum retention: 5 years

*May include records with long-term administrative or historical value.\**

Document full-cycle assessment activities for degree programs.

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### 1.4 Articulation Agreements *Effective: July 1, 2015*

Minimum retention: 5 years after expiration

Document the coordination of courses and curriculum requirements between Oregon State University and other institutions.

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### 1.5 Course Records *Effective: May 10, 2021*

Minimum retention: 1 year after end of academic term

Document a student's academic work in a course and consist of the instructor's grade records, including the details utilized in calculating final grades, and materials in the Oregon State University learning management system for a specific course. Applies only to materials that are linked with an individual student by name or other identifiable information.

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\*Contact the University Archivist for assistance in identifying records with long-term historical or administrative value and developing a plan for preservation and access.

**1.6 Curricular Policies and Procedures** *Effective: July 1, 2015*

Minimum retention: 15 years after superseded  
*May include records with long-term administrative or historical value.\**

Document the policies and procedures for academic programs and curriculum.

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**1.7 Curriculum Planning and Proposal Records** *Effective: July 1, 2015*

Minimum retention: 15 years  
*May include records with long-term administrative or historical value.\**

Document the development of new degree programs, courses, certificates, and minors.  
Document modifications to existing courses, degrees, minors, certificates, and academic units (organizational structures).

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**1.8 Disability Access Services Records** *Effective: July 1, 2015*

Minimum retention: 5 years after last contact

Document student participation in Disability Access Services.

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**1.9 Examinations, Tests, Term Papers, and Homework Records** *Effective: May 10, 2021*

Minimum retention: 1 term after completion or until resolution of contested grade

Document a student's academic work in a course and consist of materials not returned to the students that are held outside the Oregon State University learning management system. These may include examinations and answers; quizzes and answers; homework assignments; papers; and essay assignments. These records do not include graduate student qualifying or comprehensive examinations.

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**1.10 International Student Records** *Effective: July 1, 2015*

Minimum retention: 7 years after last enrollment

Document assistance to international students, including sponsored students, on non-academic matters, including immigration.

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\*Contact the University Archivist for assistance in identifying records with long-term historical or administrative value and developing a plan for preservation and access.

**1.11 Medical Records**

*Effective: July 1, 2015*

Minimum retention: 7 years after last service or contact

Case files that document services provided by Student Health Services or Counseling & Psychological Services.

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**1.12 Scholarships and Grants**

*Effective: July 1, 2015*

Minimum retention: 3 years after award year

Document eligibility, application, and selection of students to receive scholarships and grants awarded and administered by the Office of Financial Aid.

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**1.13 Student Academic History Records**

*Effective: July 1, 2015; Revised: May 10, 2021*

Minimum retention: 7 years after last enrollment

Document actions and requests pertaining to a student's academic program and may include applications for admission, student petitions, name change requests, grade changes, transcript requests, degree audits and applications for graduation, veterans records, commencement attendance forms and diploma mailing verifications, transcript requests, and revoked requests by students to restrict release of information normally provided as directory information. These records also include materials that are not typically part of the records held by the Office of the Registrar and may include: certifications or licenses received; practicums, internships, or independent study; advising records; and placement records.

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**1.14 Student Transcripts**

*Effective: July 1, 2015*

Minimum retention: 75 years after last enrollment

*May include records with long-term administrative or historical value.\**

Document the official academic record of matriculated students at Oregon State University as maintained by the Office of the Registrar. May include requests by students to restrict release of information normally provided as directory information.

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## Section 2: Finance and Administration

### 2.1 Accident and Injuries Records *Effective: July 1, 2015*

Minimum retention: 10 years after incident

Document accidents and injuries reported by employees, students, or visitors that do not involve hazardous, biological, or radiological substances and any follow-up investigation results.

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### 2.2 Accounts Payable and Receivable Records *Effective: July 1, 2015*

Minimum retention: 6 years

Document expenditures and purchases that are not funded by sponsored awards (payables) and billings, collections, and payments received (receivables).

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### 2.3 Annual Budget *Effective: July 1, 2015*

Minimum retention: 10 years

*May include records with long-term administrative or historical value.\**

Documents the annual operating budget for Oregon State University and includes the adopted annual operating budget (Orange Book), Black Book, and Chart of Accounts.

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### 2.4 Annual Financial Reports *Effective: July 1, 2015*

Minimum retention: 10 years

Audited financial statements and supporting materials.

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### 2.5 Audits *Effective: July 1, 2015*

Minimum retention: 7 years after completion

Records document an examination of OSU's fiscal condition; internal control and compliance policies and procedures; and performance or financial audits, including investigations, by the Secretary of State Audits Division, OSU Office of Audit Services, or other governmental or independent auditors. Records include audit reports and supporting documentation.

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**2.6 Background Check Records**

*Effective: May 10, 2021*

Minimum retention: as long as there is an administrative need for background check logs;  
90 days for all other records

Document pre-employment or periodic criminal history checks and related background checks conducted at the request of Oregon State University for prospective or current employees or volunteers. May include fingerprint-based criminal records checks, checks with local and state police departments, and vendors that typically includes personally identifiable information and indication of the existence or absence of a criminal record. These records found in all media (paper, digital, or other) may include, but are not limited to: logs; reports; forms and form data; fingerprint-based criminal history verification forms and form data, which includes Oregon Law Enforcement Data System (LEDS) reports or data; and related documentation and correspondence, including email.

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**2.7 Bond Issuance Records**

*Effective: July 1, 2015*

Minimum retention: 3 years after redemption

Reports required for issuance of bonds and records of expenditures of tax-exempt bond proceeds.

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**2.8 Campus Planning Records**

*Effective: July 1, 2015*

Minimum retention: 10 years

*May include records with long-term administrative or historical value.\**

Document the development of long-term plans for Oregon State University land use, facilities, and infrastructure.

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**2.9 Capital Construction Project Records**

*Effective: July 1, 2015*

Minimum retention: 10 years after substantial completion

*May include records with long-term administrative or historical value.\**

Document planning, administration, and implementation of capital construction projects.

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\*Contact the University Archivist for assistance in identifying records with long-term historical or administrative value and developing a plan for preservation and access.

**2.10 Child and Youth Program Participant Records**

*Effective: May 10, 2021*

Minimum retention: 3 years after last contact

Document the participation of minors in programs sponsored by Oregon State University, including 4-H programs. These records may include but are not limited to applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related documents.

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**2.11 Claims and Litigation Records**

*Effective: July 1, 2015*

Minimum retention: 2 years after resolution or, if not resolved, 5 years after case closed

Document litigation and claims brought against Oregon State University.

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**2.12 Contracts and Solicitations**

*Effective: July 1, 2015*

Minimum retention:

6 years after expiration or termination for contracts and related solicitations; 6 years after closing date for cancelled solicitations

Contracts between Oregon State University and other parties that are not for construction, design or consulting services pertaining to capital projects; real estate transactions; or externally-funded research and sponsored activities. Solicitations include written requests for quotes, proposals, information, and qualifications; invitations to bid; materials submitted in response to solicitations; and bid and quote lists and tabulations.

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**2.13 Employee Search Records**

*Effective: July 1, 2015*

Minimum retention: 3 years after search completed

Document the recruitment and selection process for paid academic, classified, or student positions. Includes search committee records that are maintained in the unit conducting the search.

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**2.14 Employee Time Records**

*Effective: July 1, 2015*

Minimum retention: 4 years

Document hours worked and leave hours accrued and taken by employees.

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\*Contact the University Archivist for assistance in identifying records with long-term historical or administrative value and developing a plan for preservation and access.

**2.15 Employment Records**

*Effective: July 1, 2015*

Minimum retention: 7 years after end-date of employment

Document an individual's employment by Oregon State University and resulting benefits.

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**2.16 Liability Waivers**

*Effective: July 1, 2015*

Minimum retention: 2 years after last contact

Documents releasing or relinquishing a known right, claim, or privilege. These include, but are not limited to, acknowledgement of risk waivers.

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**2.17 Purchase Orders**

*Effective: July 1, 2015*

Minimum retention: 6 years after date of issue

Purchase orders regardless of total amount.

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**2.18 Real Estate Records**

*Effective: July 1, 2015*

Minimum retention: duration of ownership or 6 years after sold

*May include records with long-term administrative or historical value.\**

Document actions on real property owned and leased by Oregon State University.

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**2.19 Trusts and Endowments**

*Effective: July 1, 2015*

Minimum retention: life of the endowment

Document endowment and trust gifts made directly to Oregon State University.

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**2.20 Volunteer Service Records**

*Effective: May 10, 2021*

Minimum retention: 3 years after last volunteer activity

Document the formal volunteer relationship between an individual volunteer and Oregon State University. These records include, but are not limited to, the Conditions of Volunteer Service form and related documents such as the description of duties, volunteer applications, emergency notification forms, the Photo Opt Out form, and any other required forms related to volunteers working with any university youth programs.

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## Section 3: Governance and Leadership

### 3.1 Accreditation Records

*Effective: July 1, 2015*

Minimum retention: 7 years

*May include records with long-term administrative or historical value.\**

Document the accreditation process for Oregon State University by the Northwest Commission on Colleges and Universities (NWCCU) and the accreditation of academic units and programs at Oregon State University by outside organizations.

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### 3.2 Board of Trustees Records

*Effective: July 1, 2015*

Minimum retention:

5 years after superceded for policies; 5 years after creation for other records

*May include records with long-term administrative or historical value.\**

Document the actions of the Board of Trustees as the governing body of Oregon State University. Records include bylaws; meeting announcements, agendas, and minutes; and adopted policies, procedures, processes, and resolutions.

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### 3.3 Faculty Senate Records

*Effective: July 1, 2015*

Minimum retention: 5 years

*May include records with long-term administrative or historical value.\**

Document the actions of the Faculty Senate and Faculty Senate Committees regarding academic policies, educational standards, curricula, academic regulations, and faculty welfare and recommendations to the University administration.

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### 3.4 University Policies and Standards

*Effective: July 1, 2015*

Minimum retention: 5 years after superceded

*May include records with long-term administrative or historical value.\**

Policies and standards approved by the Executive Policy and Standards Committee.

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## Section 4: Research

### 4.1 Human Subjects Records

*Effective: July 1, 2015*

Minimum retention:

3 years after project completion except for FDA-regulated drug or device research, as indicated below.

For FDA-regulated drug research an investing tor or sponsor shall retain the records and reports for 2 years after a marketing application is approved for the drug; or, if an application is not approved for the drug, until 2 years after shipment and delivery of the drug for investigational use is discontinued and FDA has been so notified.

For FDA-regulated device research, an investigator or sponsor shall maintain the records required by this subpart during the investigation and for a period of 2 years after the latter of the following two dates: The date on which the investigation is terminated or completed, or the date that the records are no longer required for purposes of supporting a premarket approval application or a notice of completion of a product development protocol.

Records document the review of research projects that involve the use of human subjects.

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### 4.2 Institutional Animal Care and Use Records

*Effective: July 1, 2015*

Minimum retention: 3 years after project completion

Records document the review of research projects that involve the care and use of animal subjects.

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### 4.3 Research Misconduct Records

*Effective: July 1, 2015*

Minimum retention: 7 years after resolution

Records document allegations of misconduct brought forward by or against faculty or students relating to research projects. These records are to include information pertaining to the allegation; investigative proceedings, including all documents, articles, artifacts, sequestered data, and research materials included in any investigation; and ultimate disposition of any investigation.

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\*Contact the University Archivist for assistance in identifying records with long-term historical or administrative value and developing a plan for preservation and access.

**4.4 Research Proposals**

*Effective: July 1, 2015*

Minimum retention: 3 years after submission

Grant proposals (funded and un-funded) developed and submitted by Oregon State University units for external funding.

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**4.5 Sponsored Awards**

*Effective: July 1, 2015*

Minimum retention: 3 years after grant termination date

Awards and contracts for externally-funded research and sponsored activities.

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**4.6 Sponsored Awards Accounting Records**

*Effective: July 1, 2015*

Minimum retention: 3 years after submission of final expenditure report

Document the establishment and administration of restricted funds awards for externally-funded research and sponsored activities. May include technical reports, if submitted by investigator.

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**4.7 Technology Transfer Records**

*Effective: July 1, 2015*

Minimum retention: 6 years after expiration

*May include records with long-term administrative or historical value.\**

Records that document the transfer of technology developed at Oregon State University to outside agencies. Includes original patents; patent applications; and licensing agreements.

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