



# **Idaho State University Records and Information Management Program**

## **Records Program Guide** *with* **ISU Records Retention Schedules**

**To ensure access to present, past, and future public records and information at Idaho State University through a unified records management system designed for consistency across the various operations of the University.**

**Revision 3, October 2008**

**Effective: August 28, 2006**

Dr. Arthur C. Vailas, President *signature on file*

Issued by the  
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Mail Stop 8089

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## Table of Contents

### I. Background

#### A. The Records and Information Management (RIM) Program

1. Program Goals and Objectives
2. Organizational Location and Funding
3. Authority
4. Organizational Structure
5. Who is Affected?
6. History
7. Services

### II. Records Management Policies and Regulations

#### A. Institutional

#### B. Specialized

#### C. Rules and Regulations

1. State
2. Federal
3. Oversight Organizations

### III. Retention Schedule Digest

#### A. Overview

#### B. Frequently Asked Questions and Definitions

#### C. Using *the Schedules*

#### D. Organization of *the Schedules*

### IV. The Schedules

#### A. The General Records Schedule (GRS)

1. Administrative
2. Computing
3. Financial
4. Legal (will include Safety\*)
5. Personnel
6. Students

#### B. The Specialized Series

1. Athletics
2. Computer Systems Administration\*
3. Financial Services Administration\*
4. Health Professions Facility
5. Institutional Research\*

## Idaho State University Records Program Guide

6. Research/Human Subjects Program\*
7. Students Records Administration\*
8. University Library

\*Under development

**FERPA questions direct to the Registrar at 282-2979.**

**HIPAA questions direct to the Privacy & Security Officer.**

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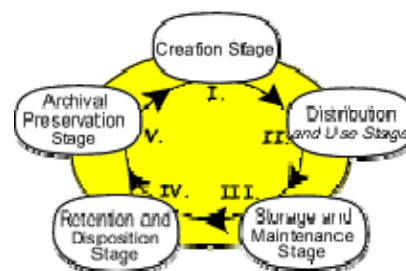
## I. Background

### A. The Records and Information Management (RIM) Program

#### 1. Program Goal & Objectives

The goal of ISU's Records and Information Management (RIM) Program is to fulfill legal requirements by bringing each academic and administrative unit of the University into basic compliance with relevant laws and requirements. Records can be effectively managed throughout their life cycle (creation, maintenance and use, and disposition). Records management techniques include managing files, determining retention periods, furnishing inexpensive storage, and disposing of records or transferring permanent records to University Archives.

Records Management may *seem* like a set of new concepts, but, for the most part, every office on campus already practices some type of records work as a matter of course: making purchases; handling things like travel, payroll, and grades; and the hiring, evaluation and promotion of faculty and staff. Everyday records are created in a number of formats. It is important to realize that once they are in use throughout ISU, the *ISU Records Retention Schedules* will result in consistent, efficient maintenance of the records that are vital to the continued success of the University.



**NOTE: If a notice to preserve records or direction is received or the college/department has knowledge of any pending litigation, then the applicable retention schedule is superseded by the notice and the scheduled destruction shall be on hold until further direction is received from the Office of General Counsel.**

#### 2. Organizational Location and Funding

The RIM Program and the Records Manager are located within the ISU Library organization. While this is a campus-wide function, the work of the RIM Program overlaps the work of the Head of Special Collections, who also serves as ISU's University Archivist. The Records Manager primarily reports to the University Librarian, and by policy has a responsibility to report findings to the President as needed. The Records Manager and the RIM Program Office are funded by a single state appropriations account, not by fees. These funds are administered separately from the Library budget.

#### 3. Authority

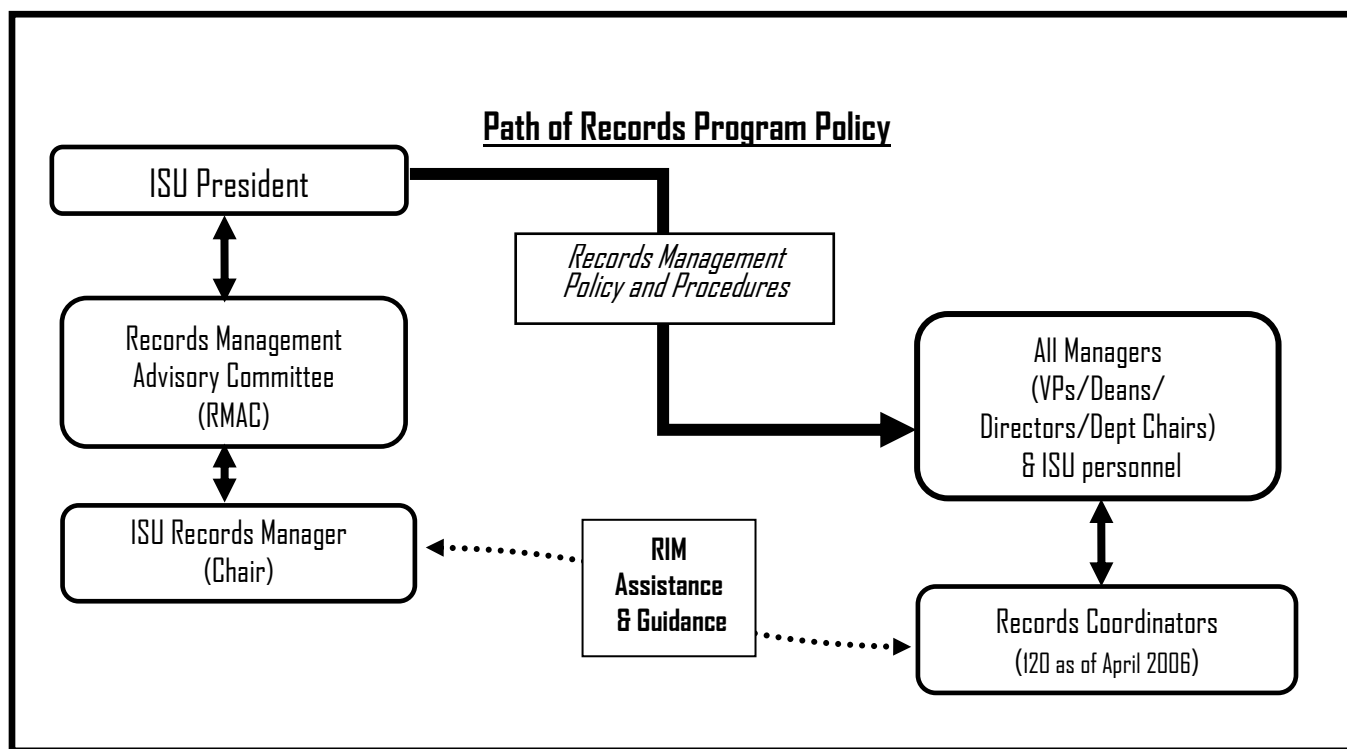
The Records Manager is authorized to access most files of the University on a need-to-know basis, and works under a [Confidentiality Agreement](#). There are exceptions to such access including, but not limited to, legal files of the Office of General Counsel, clinics'

patient records, and student records. All other records and information materials should be made available for records survey and inventory processes on a need-to-know basis. Access of the Records Manager may be necessary for the development and maintenance of accurate retention schedules and policies. Office visits to view records/files will always be on an appointment basis. University personnel should contact the Records Manager and/or the Office of General Counsel with questions or concerns.

#### 4. Organizational Structure

##### RIM Program Placement

The RIM Program is organized under the umbrella of the Records Management Advisory Committee (RMAC), one of the committees reporting directly to the President. The Records Manager chairs this committee. Policies and procedures are drafted and revised through the RMAC, in consultation with appropriate campus organizations and offices (Faculty Senate, VP of Student Affairs, and Institutional Research, for example). Then these documents are submitted to the President for approval and distribution (The Records Manager is likely to complete final routing).



##### Records Coordinators

The Records and Information Management Program is based upon the appointment of staff across campus to assist personnel in the use of the *Schedules*. These people are the *Records Coordinators* (RC's). *Records Coordinators* are intended to serve as liaisons to the Records Manager. Ideally, all offices and divisions of ISU will appoint at least one

## Idaho State University Records Program Guide

person to be a *Records Coordinator*. These people serve as the primary departmental contact with the University Records Manager. As such they should be familiar with the operations of the department or college they serve.

More detailed information on the scope of the Records Coordinators and the appointment process is available on the Records and Information Management website at [http://www.isu.edu/infomgmt/rc\\_overview.shtml](http://www.isu.edu/infomgmt/rc_overview.shtml).

### 5. Who Is Affected?

The use of the *Retention Schedules* is part of a policy that applies to all offices of the University. *Records created in the course of doing the business of ISU are the property of ISU and of the state of Idaho.* What does "doing business" mean? It means whatever work is performed by an office or individual in accordance with the mission or purpose of that area. For example, the College of Education develops courses, teaches, and tracks the performance of students and certifies them as ready to teach. These processes create records, and they are the property and responsibility of ISU, long after the present dean, instructors, and students have moved on.

### 6. History

Beginning in May 2000 Idaho State University initiated an institutional Records Management Program. While guided by the [State Board of Education Higher Education Records Management Guide](#), a number of factors have influenced the progress of the Records Program at ISU. The focus of the first stage, the institutional survey, was on areas in critical need of relief from older records, either through approval for destruction, or transfer to University Archives. These areas included: Office of the Registrar, Human Subjects, Financial Services, Graduate Studies, Physical Plant, and some portions of the College of Technology. A physical inventory of the holdings of the University Archives has also been completed. Some offices remain to be surveyed, although some offices within all branches of ISU have now been surveyed, completing a representative cross-section upon which this guidance has been developed.

### 6. Services

The Records Program Office provides recordkeeping assistance to all areas of ISU. In-office assistance is available for records surveys and with retention questions. In addition, the Records Manager approves the destruction of records at the end of their useful life. Information on the destruction of records is available at the RIM website at [http://www.isu.edu/infomgmt/howto\\_recdes.shtml](http://www.isu.edu/infomgmt/howto_recdes.shtml) under "Purges and Destruction of Records."

#### Office Visits

The Records Manager has visited offices across campus performing surveys of the record types/series, which ISU commonly produces. Many offices have participated. A

## Idaho State University Records Program Guide

demonstration project in the College of Technology took place during Fall 2001 and Spring 2002. About 75% of the offices of the University have now been surveyed with the cooperation of administration, faculty and staff.

### Records Surveys and Inventories

These processes are described elsewhere, under *Records Inventory* on the RIM website at [http://www.isu.edu/infomgmt/howto\\_inventory.shtml](http://www.isu.edu/infomgmt/howto_inventory.shtml) . Time is involved to do this properly, but the benefits have already been felt in offices across campus. 23 tons of outdated records were approved for destruction from Financial Services' records and destroyed by a vendor in October 2001. During subsequent years the average has been 14 tons, campus wide. Offices have avoided the purchase of additional file cabinet since they discovered they were maintaining files they did not need. One office has located a set of records from the earliest years of the University, thought to be long-lost.

### Training

Briefings on how to survey and inventory records, and answers to common questions about records life spans, security and confidentiality are given during office visits. In the future, more formalized workshops will be given at regular intervals to present these concepts more widely, and to give updates on requirements as rules change.

### Records Center

The Records Program also provides an alternative to in-office storage of records awaiting the end of their retention period – the ISU Records Center. This secure facility is located in the Continuing Education Building, across from the City of Pocatello offices. The official guide and policies related to the Records Center are available at the RIM website at [http://www.isu.edu/infomgmt/records\\_center.shtml](http://www.isu.edu/infomgmt/records_center.shtml) under “ISU Records Center.”

### Result

The records surveys have been used to compile this document and *the Schedules* included within. It lists what types of records departments routinely create and how long they should be kept. A version of this document went to the State Board of Education for approval. Based on that approval, some departmental sections have been created for ease of use. Until this process is complete, please contact Records Management with questions about how long to keep records, or if you have questions concerning this *Guide*.

## II. Records Management Policies and Regulations

### A. Institutional

1. Policies establishing the Records Information Management (RIM) Program and related direction appear in the Faculty Staff Handbook at [Part 5; Section V, Subsection A., Parts 1, 2, and 3](#),

This section defines the authority of the Records Manager to administer the RIM Program, its origins based upon State Board of Education (SBOE) Policy and the Idaho Public Records Law.

2. This section defines the authority and scope of the Records Management Advisory Committee, its composition and its reporting line to the University President. [Part 2. Organization, Section II. Institutional Governance, E. The University Council System, 4. Committees Reporting Directly to the President, I. University Records Management Advisory Committee](#)

### B. Specialized

A number of activities and responsibilities of ISU generate records and information that must be administered in accordance with specific direction due to legal and accreditation requirements. These include, but are not limited to:

1. Criminal Background Checks  
[Part 6. Student Affairs, Section IV. Classroom, O. Criminal Background Checks, 5. Procedure, h. Retention \(records\)](#)

A detailed expression of both policies and procedures related to the acceptable instances for requiring criminal background checks of students, who may view this information and direction to abide by ISU RIM Policy when retaining these records.

2. ISU Policies on the Family Educational Rights and Privacy Act or FERPA  
[Part 6. Student Affairs, Section IV. Classroom, K. Student Educational Records/Privacy Act \("Buckley Amendment"\)](#)

3. ISU Policies in response to the Health Insurance Portability Accountability Act (HIPAA)  
Posted on the General Counsel pages at  
[http://www.isu.edu/departments/ucounsel/pdf/hipaa\\_policy.pdf](http://www.isu.edu/departments/ucounsel/pdf/hipaa_policy.pdf)

4. Policy for Research Practices  
[Part 4. Personnel Policies; Section IV. Performance/Evaluation/Termination, I. Policy for Research Practices](#)

## C. Rules and Regulations

### 1. State Laws

**Idaho Public Records Law:** The primary legislation or rule of law, applicable to state agency records in Idaho is the Public Records Law, or *Title 9, Evidence, Chapter 3, Public Writing*, commonly noted as 9-337 through 9-347. These codes include language detailing public records definitions, rights of the public to examine public records, some exemptions (which do not relate to typical higher education conditions), and the directive requiring agencies to have guidelines on how to manage their records.

#### **Other Idaho Laws:**

While the Public Records Law is quite broad, some records-related areas have been further specified in Idaho Code.

- Records Management Manual. State Government and State Affairs/Department of Administration Idaho Code (IC) 67-5752.
- Requirement to Adopt Records Retention Schedules—IC 67-5751 and 67-5752
- Photographic or Digital Retention of Records. Evidence, Public Writing, IC 9-328.
- Preservation of Records - Written Contracts -Void Contracts. State Government and State Affairs/Department of Administration IC 67-5725.
- Retention of Electronic Records - Originals. Commercial Transactions/Uniform Electronics Transactions Act, IC 28-50-112.

### 2. Federal Regulations

These are a few of the regulations that ISU must abide by when creating, maintaining and releasing information (records).

- The Family Educational Rights and Privacy Act (FERPA). Sometimes called the Buckley Amendment. This suite of regulations details aspects of proper dealings of state and federal agencies with respect to students, their educational information, and the rights and restrictions placed on agency staff, family members and the public where access to information is concerned.
- Nuclear Regulatory Commission (NRC). For some institutions, the addition of nuclear medicine or physics programs including the use of radiological materials as part of laboratory programs can bring them under the rules of this commission.
- U.S. Wage and Hour/Internal Revenue Service/Americans with Disabilities Act. A wide variety of federal agencies and programs have regulations that apply to higher education.
- USA Patriot Act. This Act, passed October 2001, updates 15 different laws, including FERPA. The primary effect on related regulation is to require the source agency or institution to release information on an individual without notifying the subject of the search. There is a specific type of court order for these releases, an "ex-parte" order.

### 3. Oversight Organizations

This list includes examples of organizations that have authority to supervise or specify the handling of records at ISU.

- American Association of College Registrar and Admissions Officers (AACRAO). The organization is authorized by the U.S. Department of Education to communicate the standards and requirements for student registration and admissions records, with attention to FERPA. Compliance with AACRAO guidance is also directly tied to institutional federal financial aid eligibility.
- National College Athletics Association (NCAA). Less formal than AACRAO, this organization is tied to the U.S. Department of Education financial aid eligibility system, as well as Title IX funding and the Americans with Disabilities Act regulations.
- National Association College & University Business Officers (NACUBO).
- Office of Student Financial Assistance Programs (OSFAP). This arm of the U.S. Department of Education has been formed to assist federal aid-granting agencies and higher education institutions with the changes and complexities of student financial aid requirements.

### III. Retention Schedule Digest

Or, what you need to know to use *the Schedules*

#### A. Overview

The *Guide* and *the Schedules* are the result of an internal review initiated in 2000 by the ISU President responding to a state-wide directive about records. *The Schedules* are based upon the Idaho State Board of Education (SBOE) *Higher Education Records Retention Schedule*. The *SBOE Schedule* constitutes a baseline for recordkeeping by the universities and colleges in Idaho and was always understood to be a starting place for internal records programs.

The Schedules are the result of a multi-year process involving

- In-person interviews with staff, faculty, and administrators
- Physical surveys of records on hand across campus
- Review of regulations and requirements that apply specifically to ISU
- Consultation with ISU General Counsel
- Faculty Senate, the Assistant/Associate Deans' Council, and the Records Management Advisory Committee
- Key personnel in areas requiring development of specialized records descriptions

Two final points about *the Schedules*:

This is a living document. Most of us are aware that the rules for higher education change with alarming frequency. This document will be reviewed annually and updated as needed to meet the needs of this institution.

This document is not complete at the time of first distribution. There are a number of areas of the University that have specialized records that have not been described at this time. If you have questions about whether or not your records fit into existing categories, or *records series*, please contact the Records Manager at 282-3251 or by email at [wilsrobi@isu.edu](mailto:wilsrobi@isu.edu).

Information on how to apply the Schedules appears in Section C. below.

#### B. Frequently Asked Questions and Definitions

##### What is a Record?

A record is recorded information, in any form, including data in computer systems, created or received and maintained by an organization or person [at or near the time of] the transaction of business or the conduct of affairs and kept as evidence of such activity. A record can exist in a number of formats, including various sizes of paper (original or photocopy), microfilm or any microform, electronic media, optical disk media, CD, Mylar, sepia, blue-line, photograph, audio and video tape, punched cards, books, and maps.

### What is a Public Record?

A "Public record" includes, but is not limited to, any *writing* containing information relating to the conduct and administration of the public's business prepared, owned, used, or retained by any state or local agency regardless of physical form or characteristics. (Idaho Code, 9-337.12) This means the majority of the documentation created and maintained by ISU can be considered to be public records, with certain exemptions (exceptions) allowed under the law, for example, most personnel records.

### What does "Writing", include?

"Writing" includes, but is not limited to: handwriting, typewriting, printing, photostating, photographing and every means of recording, including letters, words, pictures, sounds, or symbols or combination thereof, and all papers, maps, magnetic or paper tapes, photographic films and prints, magnetic or punched cards, discs, drums or other documents. (Idaho Code, 9-337.14)

### What are "education records"?

Education records are defined by FERPA as any record (written, printed, taped, filmed, etc.) maintained by the educational institution that is directly related to a student except for (1) personal notes kept in the maker's sole possession and never shared, (2) certain campus law enforcement records, (3) alumni records, and (4) certain medical records used only for treatment purposes. Thus, with few exceptions, almost any record that is made on this campus related to a student's education must be handled in compliance with FERPA. One exception to this is medical treatment records of students which are created and maintained by an ISU health care clinic in accordance with HIPAA Rules and Regulations.

### Are the files on my computer records?

This is a broad, but common question. Computer-based records, or electronic records, are the fastest growing type of record today. To answer this question reliably requires knowledge of the content and purpose of a given file. Knowing what the file contains, or what it is about, determines its classification as a record, *not* whether or not it is on a hard drive, a server, a CD-ROM, or other storage device.

### What is the difference between a historic record, an archival record, and a permanent record?

These are closely related concepts. *Historic* records are those that institutions have determined have significance due to their ability to document the history of the organization. An *archival* record is material determined to have permanent value, due either to standards of practice (ex: transcripts), their significance (building floorplans), or legal requirements (regulations and lawsuits). A *permanent* record is one with a life span in excess of 50 or more years, due to the preservation and management requirements associated with maintaining them. In some states, records with retention of over 25 years are considered permanent, although they have an eventual destruction.

### Which records are considered *Vital*?

Records that are essential to:

- The resumption and/or continuation of operations in the event of a disaster;
- The recreation of the legal and financial status of ISU;
- The fulfillment of the obligations to local, state, and federal governments and outside interests (ex: students, lenders, SBOE).

### When is a document or a file a *non-record*?

Duplicate copies of final reports, printouts or copies of permanent files made for reference, distribution copies of a publication, or routing copies of a memo or letter are all considered *non-records*. Material acquired solely for the purpose of reference, that is, copies of other institutions' course catalog, programs from meetings, etc., are also non-records. It should be noted that often, due to carelessness, a distribution copy (non-record) in a secondary office is the only lasting version of an essential document. Because key records are sometimes not maintained by the responsible office, copies are 'hoarded' in places other than the office of record.

### What files are most often confused with records?

- Reference materials, stocks of publications and brochures, quasi-official notices, unsolicited announcements, invitations, or other materials not filed as evidence of office or University operations.
- Preliminary drafts, worksheets, informal notes that do not represent significant steps in the preparation of record documents.
- Routing slips that contain no information or approvals, used to direct the distribution of papers.
- Extra ("convenience") copies of records in addition to the "official" copies maintained elsewhere, as long as they do not contain additional information.
- Blank Forms, templates (stock on hand).

## **C. Using *the Schedules* and Frequently-Asked Questions**

The *Schedules* are intended for use by anyone on campus who needs to find out how long to keep different types of records. The document consists of a listing of [record series](#) descriptions in alphabetical order first by major groups, then by the name of the record type. Records series include a description of the record(s) with examples and the [retention period](#) for the record(s), that is, how long to keep them and where they should go at the end of their life, including destruction type (confidential or not). It also includes notification of any restrictions for access to the records, specific regulations that apply, and whether the record series is considered [vital](#) to the operation of the University.

1. Does your department have to follow the retention periods defined in *the Schedules*?

Yes. The retention periods are expressed as the *longest* period of time records are to be maintained – not as minimums (there are a few exceptions and these are clearly flagged). But, if your department or area feels the retention period for a record series is too short, then contact the Records Manager to establish an appropriate *Specialized* series for your department.

2. What is a retention schedule?

A listing of records series that indicate the full record series title, function/purpose, location of official record copy, time to retain it in originating office and/or records center, as well as the disposal instructions, i.e., whether the record series should be microfilmed, destroyed, and/or transferred to the State Archives for retention.

3. What is a record series?

A group of records, performing a specific function and organized in a succession of like, correlated, or corresponding items, occurrences, or events; also a sequence of things having a progressive order or arrangement. A records series has a common sequence that relates to a particular subject or function, results from the same activity, or documents a specific kind of transaction.

4. What is a retention period?

For a unique set of records, or record series, there is a period of time after which these records become inactive, and then lose value, or are superseded. Other records are of permanent or archival value as soon as they are created, as with certain annual reports and studies. The period of time a record series can be legitimately kept, based upon the responsibilities of the office of origin, is its *retention period*. Retention periods are established for two primary reasons, to limit risk associated with outdated documents, and to limit the amount of expense associated with storage (either digital or paper) needed to keep records accessible and secure.

**D. Organization of *the Schedules***

The complete *Records Retention Schedules* are divided into two parts: the *General Records Schedule* and the *Specialized Series*. The entire *Schedule* is subdivided into seven major groups: Administrative, Computing, Financial, Legal, Personnel, Students, and Special Areas. The Special Areas will include the program- or function-specific records series descriptions. For example: there will be a Special Areas section for Financial Services listing those records that are the particular responsibility of the departments reporting to the Vice President of Financial Services. There will be Special Areas listing the records series

## Idaho State University Records Program Guide

developed specifically for both administrative and academic departments that create unique records.

### 1. The General Records Schedule (GRS)

These records series descriptions have been "pulled out" of *the Schedules* because, according to surveys of the offices of the University, they represent the records most often on hand.

The GRS does not represent guidance for all of the records ISU creates. Many offices and divisions at ISU perform highly specialized functions. Some are obvious, like Payroll, Human Resources, the Registrar's Office, and Financial Aid. But many departments across campus, such as Health Professions, Athletics, Photographic Services, and the University Library create other unique types of records. Not all of these unique records have been identified. As a result, staff who tries to apply the *General Records Schedule* may not see some of their records listed. If you believe your areas unique records have not been defined please refer first to the *Special Areas* portion of the *Schedules*. If after looking for guidance there, you still find your records aren't defined, and then apply the process described below:

### 2. How to Establish Special Areas Records Series

There are several steps to the processes required to identify unique records. As a result, the ISU RIM Program calls for the appointment of Records Coordinators (RCs) by all distinct divisions of ISU to assist the Records Manager with these processes. There are over 120 RCs as of March 2006, and those offices that have appointed their RCs have already experienced the benefits.

Departments trying to understand what they should and should not do with their records are advised to work with their Records Coordinator, or appoint one (or several), so that they can have someone who understands the records helping them.

Once a unique set of records has been identified, the manager for the office of origin for

the records should request a specialized record series to define the retention period for the records. Often, unique records are isolated during records surveys. Should this occur, the Records Manager will notify the area manager through the Records Coordinator that the office creates a special record. The office of origin will always be consulted prior to establishing the retention period for a specialized record series.

Please note: Less than one percent of records created have a retention period longer than 5-7 years. Most should be kept for 3 years or less.

Establishing the retention period will be a cooperative process, based upon requirements (accreditation requirements, state and federal regulations, and ISU policy) for how long a record type should be maintained, the needs of the academic program or administrative area that creates the record, and consultation with the Records Management Advisory Committee (RMAC).

The approval of a new specialized series will occur upon review by the RMAC, based on a majority vote, following communication with applicable Vice Presidents and/or

## Idaho State University Records Program Guide

Deans. In the instance of a need to settle any disagreements over the final retention period or related language, the President or his designee shall have authority for a final ruling.

Finally, bear in mind that this is an on-going process. If you have concerns, please contact the RIM Program Office at 282-3251 or by email at [recsmgmt@isu.edu](mailto:recsmgmt@isu.edu).

## IV. The Schedules

### A. General Records Schedule (GRS)

1. Administrative
2. Computing
3. Financial
4. Legal
5. Personnel
6. Students

### B. Specialized Series

#### *Destruction instructions*

Many of the records series described here refer to the need to destroy them using “Confidential Destruction.” Detailed information concerning Confidential Destruction procedures and the available options are posted on the RIM website at [http://www.isu.edu/infomgmt/howto\\_recdes.shtml](http://www.isu.edu/infomgmt/howto_recdes.shtml) , under “Purges and Destruction of Records.”

Some explanatory text may appear at the beginning of each Record Series section.

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## IV. The Schedules

### A. General Records Schedule (GRS)

1. **Administrative**
  2. **Computing**
  3. **Financial**
  4. **Legal**
  5. **Personnel**
  6. **Students**
- 

#### 1. Administrative Series (AD)

##### **ISU-AD-0001 Administrative – Accreditation Records**

Records kept according to Accreditation Organization requirements, either institutional- or program-specific. Includes: final reports, compilations of information, statistics, studies, and meeting minutes.

**Office of Record:** ISU institutional accreditation: Academic Vice President.

Programmatic accreditation: Dean of College.

**Status:** Permanent

**Retention:** One set of materials to be transferred to University Archives upon completion of accreditation process.

**Vital Record**

##### **ISU-AD-0002 Administrative – Affiliation Agreements**

Documentation of agreements with external facilities (hospitals, clinics, pharmacies, companies, etc.) that accept students for purpose of practical experience specifically connected to an ISU degree program. Records may include signed agreements as well as correspondence and related records of negotiations contributing to the relationship with the external party.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain for 5 years from close or end of agreement, then destroy.

**Vital Record.**

##### **ISU-AD-0003 Administrative – Correspondence (Formal)**

Correspondence pertaining to programs, administration, and mission-specific work of a department or division of the university. Distinction based upon which correspondence historically would have been signed by Director, Department Head, Dean, Vice President, President or key university officials such as Budget Officer, Controller, or University Counsel (and printed on letterhead). Includes correspondence regardless of format, including email used to transmit content that previously would have had this level of signature. May include correspondence addressed to senior managers (as listed above) in response to requests. Does not include routine announcements.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Once space is exhausted, originals transferred to University Archives, organized by

## Idaho State University Records Program Guide

fiscal year.

**Restricted Access:** Access may be restricted due to content, social security numbers, attorney/client privilege, proprietary information, etc.

**CAUTION:** This records series applies only to correspondence that is not included in or directly related to another records series in this schedule. *Do not separate correspondence from project or planning files.*

**Vital Record.**

### **ISU-AD-0004 Administrative – Correspondence (General)**

Correspondence pertaining to the routine operations of a university office, department, or division. Examples include memos to staff on meeting schedules, planned events, changes in personnel and deadline reminders to staff, students, and faculty.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain for 3 years from end of fiscal year of creation, then destroy. May contain sensitive information requiring confidential destruction.

### **ISU-AD-0005 Administrative – Correspondence Logs**

Any record to track incoming/outgoing mail, correspondence, etc. May take the form of a log.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain 1 year from end of fiscal year of creation, then destroy.

### **ISU-AD-0006 Administrative – Delivery Reports (Shipping and Receiving)**

Documentation of receipt of goods and supplies.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain 1 year after from end of fiscal year of receipt, then destroy.

### **ISU-AD-0007 Administrative – Desk Calendars/Appointment Books**

Documentation of appointments, itineraries, etc. of institutional officials, managers, directors or staff. Retention applies regardless of format; may be stored as spreadsheet, personal data assistant software or ISU network-based utility.

**Office of Record:** Office of Record

**Status:** Temporary

**Retention:** Retain until end of calendar year plus 1 more year, then destroy or purge.

**Restricted Access:** While active, may be restricted to protect security of officials and employees.

### **ISU-AD-0008 Administrative – Directives**

Documents that officially initiate, define, or amend procedures and policies for departments, divisions or subunits of ISU, or ISU as a whole. Records may include, but are not limited to, correspondence, notices to affected personnel, the final approved version of each generation or revision of the directive in email and other formats, as well as the procedural text itself.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

## Idaho State University Records Program Guide

**Retention:** Retain in office of origin for 1 year from date of approval and/or distribution, arrange by fiscal year, then transfer to University Archives. Office of origin may maintain reference copies for as long as administratively valuable.

**Vital Record.**

### **ISU-AD-0009 Administrative – Event and Conference Records**

Records detailing nature and subject of an event, including but not limited to brochures, advertising, and press releases. May include guest lists, vendor arrangements, entertainment agreements, speaker vitae, etc.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Retain in office of origin for 1 year from date of event to accommodate subsequent year event planning, then transfer to University Archives. Contact University Archivist for assistance with odd-sized materials.

**Vital Record.**

### **ISU-AD-0010 Administrative – Executive Orders**

Materials that initiate and document procedures governing ISU and its programs. May originate with State Board of Education or other state and federal oversight organizations.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Retain in office of record (office responsible for implementation and distribution of the directive) for 1 year from date of receipt and then transfer associated records to University Archives.

**Vital Record.**

### **ISU-AD-0011 Administrative – Facilities Reservation Logs**

Reservation logs, etc. for the use of meeting rooms, auditoriums, etc.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain 1 year in office of origin, then destroy.

**Restricted Access:** While active, records may be restricted for the security of employees and students.

### **ISU-AD-0012 Administrative – Forms History File**

Master set of forms designed for or created by a department, operation or division of the university. Examples include student registration forms, personnel forms created by ISU (personnel requisitions), purchasing requisitions, cash accounting forms, request forms for services by Physical Plant and other departments, release forms for field trips, use of photography, etc. A single copy of each form should be retained by department for each revision made. Forms establish how ISU documented or collected information at a given point in time and can establish compliance with accrediting and regulatory requirements.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Set aside copy of the outdated form(s), once new version of form is implemented. Maintain in department or office of origin as space allows, then transfer to University Archives.

**ISU-AD-0013 Administrative – General Office Procedures**

Any manual, guide, etc. that establishes standard office or departmental procedures or processes for daily/annual operations.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain in office of origin until superseded. Keep 1 year after superseded, then destroy, regardless of format. NOTE: Delete/purge electronic copies of superseded procedures to avoid printing outdated instructions.

**Vital Record.**

**ISU-AD-0014 Administrative – Mail and Telecommunications Listings**

Department documents listing addresses, phone numbers, fax numbers or e-mail addresses for staff, faculty, students and routine contacts.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain each generation until superseded. Purge old versions. This retention does not apply to the Campus Telephone and Email Directory, which is covered by **Administrative-Publications-Record Copy**.

**Restricted Access:** Some lists include information that may be restricted to internal use only. Individual addresses, etc., may be exempt from disclosure under the public records law; student information is covered by FERPA.

**ISU-AD-0015 Administrative – Maintenance Agreements for Specialized Instruments and Equipment**

For all offices or departments responsible for instruments and equipment under maintenance agreements/contracts. Includes, but not limited to office equipment, scientific instruments, computers, scanners and cameras. May include warranty documents.

**Office of Record:** Office that purchased equipment or primary assigned user

**Status:** Temporary

**Retention:** Retain files until end of the calendar year item goes out of use, is excessed, or transferred to a non-university office, plus 3 years.

**ISU-AD-0016 Administrative – Meetings, Minutes and Agendas**

For meetings of senior level offices: President, Vice Presidents, Directors and Deans, and committees reporting to the President or the officers listed. Includes final version or compilation of minutes, the agenda distributed prior to or at the start of the meeting, plus any audio, video or electronic recording of proceedings, and original notes plus final transcription of meeting minutes.

For Department Chairs, Assistant/Associate Deans, and other meetings involving minutes: see below.

**Office of Record:** Office responsible for meeting or activity being recorded

Idaho State University Records Program Guide

**Status:** Permanent

**Retention:** For Senior level offices: Hold in office of origin for 1 year from date of recording, then transfer to University Archives. Do not retain copies of the media in office, only transcripts,

## Idaho State University Records Program Guide

or final version of minutes.

For all other offices, unless specified otherwise: Hold in office of origin for 2 years following close of fiscal year of meeting, then destroy. Minutes at this level may be incorporated into files for projects related to the meeting.

**Restricted Access:** Based on subject matter of meeting, recording contents may be exempted from public records law. Examples of exempted content include student disciplinary hearings, discussions of proprietary information such as patents and formulas, and some personnel matters.

### **ISU-AD-0017 Administrative – Meetings, Certified Agendas or Tape Recordings of Closed Meetings**

Certified\* agendas, video and/or related media for video, audio, or both, recording closed meetings. Retention applies, regardless of format.

**Office of Record:** Office responsible for meeting or activity being recorded

**Status:** Permanent

**Retention:** Hold in office of origin for 1 year from date of recording, then transfer to University Archives with clear identification of contents of recording media. Do not retain copies of media in office, only transcripts.

**Restricted Access:** Based on subject matter of meeting, recording contents may be exempted from public records law. Examples of exempted content include student disciplinary hearings, discussions of proprietary information such as patents and formulas, and some personnel matters.

*\*Certified agendas are those that have been distributed as the final agenda for a meeting.*

### **ISU-AD-0018 Administrative – Mileage Reports**

Mileage Reports, logs or related records maintained on ISU vehicles.

**Office of Record:** Physical Plant, Motor Pool, other areas with title to ISU vehicles

**Status:** Temporary

**Retention:** Retain until fiscal year end plus 3 years, then destroy.

**Relevant statutes:** Based on State of Idaho rules.

### **ISU-AD-0019 Administrative – News or Press Releases**

News or press releases issued by department, division, or college. Not to be confused with new release text provided to University Relations for distribution.

**Office of Record:** Office of Origin

**Status:** Permanent

**Retention:** Retain single copy of each in office, in date order, as space allows, then transfer to University Archives.

### **ISU-AD-0020 Administrative – Organizational Charts**

Diagrams, charts and schematics outlining organizational structure, division, departmental and/or personnel relationships, span of control or responsibilities at ISU. Applies to charts created by all levels and departments.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** At time of each approved revision or superceding draft, a single copy should be set aside for transfer to University Archives. Transfer annually to Archives. NOTE: retention applies even if chart is continually produced in “draft” state. A copy of each generation shall be

## Idaho State University Records Program Guide

transferred to Archives.

### **Vital Record.**

#### **ISU-AD-0021 Administrative – Photography**

Photography created by University personnel for use by ISU, regardless of department or office creating. Availability for use/reuse by ISU does not necessarily convey copyright for all images. Includes all formats, negatives, prints, slides, and digital media.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Offices creating and maintaining photography should contact the Records Manager for specific transfer and storage instructions, should they reach the limit of their storage.

Questions related to copyright should be addressed to University Counsel.

CAUTION: FERPA requires students give specific releases for the reuse of images if photography is not part of institution's directory information disclosure statement.

NOTE: FERPA directory information release is retroactive from date of inclusion. Release to Photograph for Publication may also be needed.

### **Vital Record.**

#### **ISU-AD-0022 Administrative – Photocopier Use Logs and Reports**

Copier page count and related use logs and summaries.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain 1 year in office of origin, then destroy.

#### **ISU-AD-0023 Administrative – Plans and Planning Records**

Records documenting institutional or departmental plans, etc. relating to new or redefined academic programs, institutional or departmental services, etc.

**Office of Record:** Office of Record is office where either the plan originates or is approved.

**Status:** Permanent, Archival

**Retention:** Final approval of plan does not determine permanence, as not all plans are funded or supported. Records define institutional direction, problem solving, etc., therefore final versions are permanent whether approved (implemented) or not. A single copy set of these records shall be transferred to University Archives at end of year plan is completed. Refer to University Archivist for detailed questions.

### **Vital Record.**

#### **ISU-AD-0024 Administrative – Publications-Production files**

Background material and drafts used in production of publications.

**Office of Record:** Office of Origin or of requesting department/office

**Status:** Temporary

**Retention:** Retain 3 years in office of production or of content origin, then destroy. Files may be on hand in department that conceives content and in areas that create the finished product (for example, College of Technology Printing Services).

Exception: Illustrations, diagrams, artwork, computer-generated graphic images, or photography produced specifically for a publication shall be transferred to University Archives for review at end of 3-year holding period for evaluation of archival value. Schedule applies regardless of

## Idaho State University Records Program Guide

format, paper or electronic. Contact University Archivist with questions.

**NOTE:** Final publications are permanent records. See Administrative – Publications-Record Copy.

### **ISU-AD-0025 Administrative – Publications-Record Copy**

Includes but not limited to: catalogs, reports (annual and periodic), journals, promotional literature, flyers, calendars and announcements

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Transfer a *minimum* of 1 copy of each to University or State Archives annually.

**Vital Record.**

### **ISU-AD-0026 Administrative – Speeches and Papers**

Notes, text, or speeches, papers, etc. delivered in conjunction with work. Not limited to administrative officers of the university.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Transfer single copy of document to University Archives upon completion of presentation, including guidance on copyright assignment. Author or office of origin retains original.

### **ISU-AD-0027 Administrative – Strategic Plans**

Strategic plans for operations and for information resources. May occur at any level.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Retain in office of origin until end of fiscal year then transfer to University Archives. Copy sets may be maintained in office for reference.

**Vital Record.**

### **ISU-AD-0028 Administrative – Visitor Control Registers**

Records documenting visitors to limited access or restricted areas of ISU facilities. Examples include but are not limited to parental visit logs at Early Learning Center, visitor logs at Idaho Accelerator Center, and "sign-in" lists at campus clinics.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain in office of origin until end of fiscal year of creation plus 3 years, then destroy.

**Restricted Access:** Access may be restricted due to personal information.

### **ISU-AD-0029 Administrative – Work Schedules-Assignments**

May contain details of faculty, staff, student hours of work, work location, supervisor or employee contact information. For clinics and related services to the public, may include appointment times/date and related information (examples: Early Learning Center pick-up schedule and work-study student schedules).

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain 1 year after end of fiscal year.

**Restricted Access:** Access to student work schedules falls under FERPA.

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## **2. Computing Series (CR)**

Records associated with computers and computing are some of the least understood records on campus. These series refer to those records created in association with the use of computers to develop systems, databases and other applications. While these systems may create records described elsewhere, the intent here is to capture the documentation of how computer systems have been designed, as well as the meaning of those processes.

### **ISU-CR-0001 Computing Records – Departmental Applications Documentation**

Documentation of the development of systems and applications used to create collections of data, reports and electronic summaries of information that contribute directly to programmatic decision-making activities (budgeting, reporting to accrediting organizations, tracking of performance, etc.), by programs, faculty, or students, regardless of operating system or software. This shall include data element/field definitions, data entry procedures and data selection criteria, and work process descriptions. Documentation should be sufficiently descriptive that persons not involved with an application's development can understand the meaning of data collected and its purpose.

**Office of Record:** Office of Origin

**Status:** Temporary. Requires approval prior to destruction.

**Retention:** Hold all developmental documentation until application is no longer in use, plus 2 years. If application is revised substantially (example: new fields or operational capabilities incorporated) this constitutes a "version." Each version should have a documentation set. Hold all versions until end of retention.

**Vital Record.**

### **ISU-CR-0002 Computing Records – Website/WebPages-System Information**

System Development Documentation (for initial setup and each subsequent change). Operational information on the workings of the site (example: link directories and file name lists).

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Hold all developmental documentation until application is no longer in use, plus 2 years.

**Restricted Access:** May contain proprietary information.

**Vital Record.**

### **ISU-CR-0003 Computing Records – Website/WebPages-Content**

Records based upon the content of pages, not necessarily the electronic format/file type used to post them. Web pages may be used to satisfy regulatory notification requirements (FERPA, HIPAA) or be directly related to communicating academic program requirements such as deadlines, prerequisites, etc. Files should be organized by web page revision date.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Retain in office of origin as space permits, then transfer to University Archives.

**Restricted Access:** May contain proprietary information.

**Vital Record.**

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### 3. Financial Series (FS)

Please note that payroll records appear under the *Personnel Series*.

#### ISU-FS-0001 Financial Records – General

Records of the financial transactions of individual offices and departments, documenting the acquisition and disbursement of funds, including, but not limited to:

Purchase requisitions, packing lists, credit card and p-card receipts and reports, periodic account summary reports (budget reports), travel authorizations and requests for reimbursement, cash receipt copies, cash deposit slips, and reconciliation forms or spreadsheets, regardless of format.

For retention guidance on financial documentation associated with grant funds (includes all records of the types listed above, if the transaction is even partially paid from a grant) see *Financial Records – Grants* For retention guidance on financial documentation associated with work study student payroll records see *Personnel – Time Cards and Time Sheet-Work Study Students*.

**Office of Record:** Department spending or receiving funds

**Status:** Temporary

**Retention:** Organize by fiscal year. Hold each fiscal year's records for 3 years following end of fiscal year, then destroy confidentially. Purge online or electronic versions when paper versions are destroyed.

**Restricted Access:** Some records in this series require restriction due to Bengal ID and Social Security Numbers.

CAUTION: This series does not address records associated with Financial Services-specific functions (See *Specialized Financial Records – Financial Services series*).

**Vital Record.**

#### ISU-FS-0002 Financial Records – Grant Financial Records

Financial records documenting use of grant funds by individual offices and departments, including, but not limited to: purchase requisitions, credit card and p-card receipts and reports, periodic account summaries, travel authorizations and requests for reimbursement, cash receipt copies, cash deposit slips, reconciliations forms or spreadsheets, and time sheets (except work study), regardless of format.

**Office of Record:** Department of origin, department in receipt of funding

**Status:** Temporary

**Retention:** Organize by grant period. Retain for 3 years following submission (and acceptance) of the final report to the funding agency, then destroy. Records containing Bengal ID and Social Security Numbers must be destroyed confidentially. NOTE: Continuation grants shall be considered to be separate grants for purposes of financial recordkeeping. Closeout of original grant period must be marked to avoid retention of outdated files.

**Restricted Access:** Some records in this series require restriction due to Bengal ID and Social

Security Numbers.

**Vital Record.**

**ISU-FS-0003 Financial Records – Grant Proposals and Reports**

Original proposal or application and final report. For renewals, proposal submitted requesting renewal, and final report of renewed project/grant.

**Office of Record:** Department of Origin, department requesting funding

**Status:** Permanent

**Retention:** Retain in office of origin as space allows, then transfer to University Archives.

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**4. Legal Series (LG)**

**ISU-LG-0001 Legal – Accident Reports and Associated Documentation**

Departmental copies of accident or occupational disease reports submitted to Public Safety, Risk Management, or Human Resources as part of incident documentation or to prepare employee Workers' Compensation claims.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain 3 years from date of injury. Departmental copies to be destroyed confidentially. Official copies destroyed on same schedule.

**Restricted Access:** Access restricted due to individually identifiable information (social security numbers, Bengal ID numbers, etc.).

**Relevant statutes:** 29 CFR § 1904.6. 45 CFR §164.512(l) Standard: disclosures for workers' compensation

**ISU-LG-0002 Legal – Accident Reports and Associated Documentation-With Claims Filed**

Departmental copies of sets of forms and reports documenting accidents and claims processes.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain 5 years from end of claim, then destroy confidentially.

**Restricted Access:** Access is restricted due to personal information.

**Relevant statutes:** 29 CFR § 1904.6

**Exception:** 45 CFR§164.512(l) Standard: disclosures for workers' compensation. A covered entity may disclose protected health information as authorized by and to extent necessary to comply with laws relating to workers' compensation or other similar programs established by law that provide benefits for work-related injuries or illness without regard to fault.

**Vital Record.**

**ISU-LG-0003 Legal – Copyright Records**

Legal records documenting the University's copyrighted materials. Information pertaining to copyrights for materials created by the University.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

## Idaho State University Records Program Guide

**Retention:** Transfer 1 set of documentation to University Archives annually.

**Restricted Access:** May contain attorney-client privileged information.

**Vital Record.**

### **ISU-LG-0004 Legal – Copyright Release Records**

Records documenting permissions for use of copyright whether from author, publisher, or services such as Copyright Clearinghouse.

**Office of Record:** Departments acquiring copyright releases

**Status:** Temporary

**Retention:** Maintain for year of request, plus 3 years, then destroy. Library: Destroy confidentially to protect patron information. Retention per U. S. Copyright Office guide.

**Vital Record.**

### **ISU-LG-0005 Legal - Litigation Files**

Records created by or for an agency regarding a lawsuit.

**Office of Record:** University Counsel and affected department(s)

**Status:** Permanent. Archival Review required. Cases that set legal precedent or exhibit historical value should be evaluated by State Archives.

**Retention:** University Counsel: hold in office as space permits, then transfer to University Archives. Affected departments: transfer files associated with legal actions, hearings, or trials to University Counsel at end of litigation.

**Restricted Access:** May contain attorney-client privileged information. File closes at end of lawsuit through decision not to file, decision of the court, end of appeal, etc.

**Vital Record.**

### **ISU-LG-0006 Legal – Public Records Requests-Approved**

All documentation relating to requests for records provided to all non-ISU requestors. Files should include description of records requested (example: letters or e-mails detailing the request), name and contact information for the requestor, and a copy of the documents/records provided.

**Office of Record:** Responding Office

**Status:** Permanent, Archival

**Retention:** Hold in responding office as space permits, then transfer to University Archives.

**Vital Record.**

### **ISU-LG-0007 Legal – Public Records Requests-Denied**

All documentation relating to requests for records provided to all non-ISU requestors. Files should include description of records requested (example: letters or e-mails detailing the request), name and contact information for the requestor, and statement of basis for denial.

**Office of Record:** Responding Office

**Status:** Permanent, Archival

**Retention:** Hold in responding office as space permits, then transfer to University Archives.

**Relevant Statutes:** Idaho Public Records law, especially IC 9-338 and 9-343.

**Vital Record.**

**ISU-LG-0008 Legal – Records Management-Request Form Copies**

Departmental copies of Records Management request forms authorizing either destruction of records or transfers of records to University Archives or Records Center.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain as long as administratively valuable, but no less than 3 years after year of approval. Note: The original is a permanent record for the Records Management Office.

**Vital Record.**

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**5. Personnel Series (PS)**

**ISU-PS-0001 Personnel – Applications for Employment-Hired**

Applications and other documents required by employment advertisement. May include vitas, resumes, letters of reference, etc.

**Office of Record:** Department Offices, Human Resources

**Status:** Temporary

**Retention:** Retain until termination of employment plus 5 years, then destroy confidentially.

**Restricted Access:** Access may be restricted due to personal information.

**ISU-PS-0002 Personnel – Applications for Employment-Not Hired**

Applications, resumes, letters of reference, etc. required by employment advertisement.

**Office of Record:** Department Offices, Human Resources

**Status:** Temporary

**Retention:** Retain until position filled, plus 2 years, then destroy confidentially.

**Relevant statutes:** 29 CFR § 1602.31(a) [State Agencies] and 29 CFR §1602.49(a) [State Universities].

**ISU-PS-0003 Personnel – Biographical Information (Vitas)**

Vitas or biographical summaries for *all levels and positions* if or when biographical files are created.

**Office of Record:** Office of Origin

**Status:** Permanent, Archival

**Retention:** Maintain in office of origin until end of fiscal year of receipt or creation, then transfer one copy of each to University Archives *or* transfer two years following date of last employment.

**Restricted Access:** May contain information restricted from disclosure to the public due to Public Records Law exemption 9-340C.

**ISU-PS-0004 Personnel – Corrective Action Documentation**

Documentation of corrective actions or processes. Corrective actions are those actions that do not affect pay, status, or tenure and are imposed to correct or improve job performance.

**Office of Record:** Office of Origin

**Status:** Temporary

## Idaho State University Records Program Guide

**Retention:** Retain until termination of corrective action, plus 3 years, then destroy confidentially. Should not be maintained as part of the permanent personnel file.

**Restricted Access:** Access may be restricted due to personal information.

**CAUTION:** If, during the retention period of these records, they are used to support personnel *disciplinary* action, the records should be retained according to ISU-PS-0006 Personnel Disciplinary Action series.

### **ISU-PS-0005 Personnel – Criminal History Checks-Non-Academic**

Criminal history record information reported on job applications or from DPS for individuals hired by ISU in any capacity requiring a criminal background check, drug testing or related security check. *Do not confuse with retention period for student criminal background checks.*

**Office of Record:** Hiring Department, Human Resources, and Public Safety

**Status:** Temporary

**Retention:** Retain until after hiring decision made, plus 1 year, then destroy confidentially.

**Restricted Access:** Access may be restricted due to personal information.

**CAUTION:** Some agencies authorized to obtain criminal history records from Idaho State Police are required to destroy criminal history checks after used for their immediate purpose.

### **ISU-PS-0006 Personnel – Disciplinary Action Documentation**

Disciplinary actions are those actions that affect pay, status, or tenure. They include demotion, dismissal, etc.

**Office of Record:** Office of Supervisor, Human Resources

**Status:** Temporary.

**Retention:** Retain until termination of employment, plus 3 years, then destroy confidentially.

**Restricted Access:** Access may be restricted due to personal information.

**CAUTION:** This retention should be observed by all offices related to the action.

**Vital Record.**

### **ISU-PS-0007 Personnel – Faculty Promotion, Tenure, and Review-Departmental Files**

Materials accumulated to support departmental review of candidates for tenure or tenure renewal. Records include, but are not limited to annual performance review, student evaluations (both original sheets and compilations, regardless of format), application for review, presentation binders, and related materials. Record set includes ballots, comments, and notes on candidate created by review committee members.

**Office of Record:** Department/College performing the review

**Status:** Temporary

**Retention:** Retain materials until receipt of approval of tenure from President's office by Dean and/or candidate, plus 2 years, then destroy set of materials confidentially. Binder/presentation materials may be returned to candidate. Approval letter may be added to employee file.

**NOTE:** Time limit for filing tenure review grievances is 30 days from receipt of the President's letter. Should a grievance be filed, all materials should be held until completion of that process.

**Restricted Access:** Confidential. Access should be limited to review committee members during the period of review and associated department chair/dean. Review committee chair is responsible for assuring destruction of relevant records of the committee.

**ISU-PS-0008 Personnel – Grievance Records**

Review of employee grievances against policies, working conditions, etc. Includes record of actions taken, correspondence, forms, regardless of format.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain for final decision on the grievance, plus 6 years, then destroy confidentially.

**Restricted Access:** Access may be restricted due to personal information.

CAUTION: Does not include formal complaints filed with the Equal Employment Office (EEO) of the U.S. Department of Labor.

**Vital Record.**

**ISU-PS-0009 Personnel – License and Driving Record Checks**

Documentation of license checks (Commercial Driver’s License, etc.) to ensure that employee has appropriate licensing for operation of University vehicles. May include copies of licenses.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain until superseded, then destroy confidentially.

**Restricted Access:** Access may be restricted due to personal information.

**ISU-PS-0010 Personnel – Mail-Forwarding Address**

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain for 1 year, then destroy confidentially.

**Restricted Access:** Access may be restricted due to personal information.

**ISU-PS-0011 Personnel – Performance Appraisals-Staff and Non-Tenure Track Faculty**

Records of performance appraisals or evaluations, of employees, including non-tenure track faculty. Does *not* include tenure-track faculty annual evaluations.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain for 2 years, then destroy confidentially.

**Restricted Access:** Access may be restricted due to personal information.

Relevant statute: 29 CFR § 1620.32(c).

**ISU-PS-0012 Personnel – Resumes (Unsolicited)**

Pertains to agency replies stating resume will be kept in case a position becomes available.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain for no more than 1 year, then destroy confidentially.

**Restricted Access:** Access may be restricted due to personal information.

**ISU-PS-0013 Personnel – Time Cards and Time Sheets-Department Copy**

Time sheets, cards, time clock punch cards, and related data collected from regular staff, temporaries, regular students and all faculty types. These are convenience copies *only*; they should be retained as short a time as possible.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain in office until payroll amount is confirmed on Account Summary Report (budget report), then destroy confidentially.

NOTE: Offices maintaining "signature on file" for staff (regular or temp) or faculty, in lieu of bi-weekly signatures must maintain their signature cards for five years from date of signature.

**Restricted Access:** Access may be restricted due to personal information.

CAUTION: Time sheets/cards for personnel being paid in whole or in part from grant funds must be retained for the period of the grant plus 3 years then destroyed confidentially.

See also: *ISU-FS-0002 Financial Records - Grant Financial Records*.

### **ISU-PS-0014 Personnel – Time Cards and Time Sheets-Work Study Students**

**(Department Copy)**

Time sheets or cards and data collected from work-study students to document work hours.

Official time record shall include both student's and supervisor's signatures with listing of hours worked.

**Office of Record:** Office Supervising the work-study employee

**Status:** Temporary

**Retention:** Retain in office 5 years from date of last employment, then destroy confidentially.

File by year/semester of last employment.

**Restricted Access:** Access may be restricted due to personal information.

**Relevant statutes:** U.S. Department of Education Federal Student Financial Aid rules.

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## **6. Student Series (SS)**

Generally most student records created and maintained by ISU for educational purposes are covered by FERPA (with the exception of medical records which are maintained according to HIPAA), requiring that they be handled with privacy in mind and in accordance with specific rules about who can read them, how long they must be kept, and when they must be destroyed. If you have trouble applying these series in your department, please ask for assistance.

### **ISU-SS-0001 Student – Academic Materials-Graded, Type I**

Course-specific materials used to determine a course grade, with student answers. Does not refer to blank versions of the materials. May include, not limited to formal exams, term papers, question and answer exercises, homework (such as math assignments and communication exercises). Note: Faculty/instructors may return these materials throughout the course, or within two weeks of final grade. Only materials retained by the instructor are covered by this retention.

**Office of Record:** Office of associated instructor, departmental offices

**Status:** Temporary

**Retention:** Where academic appeal has been filed, hold all graded materials until end of appeal process. Where no academic appeal has been filed, destroy 1 year after end of semester of grade. Destroy confidentially.

**Restricted Access:** Records covered by FERPA and may not be released to secondary parties without prior written approval of the student, unless for necessary educational purposes or covered by exemptions.

**ISU-SS-0002 Student – Academic Materials-Graded, Type II**

Course-specific materials used to determine a course grade, specifically projects that require original research and substantial writing of an original nature. Examples: major projects, thesis/doctoral papers and reports (for thesis, includes draft, working papers and final version), data analysis, etc.

**Office of Record:** Office of associated instructor, departmental offices

**Status:** Temporary

**Retention:** Retain in office of associated instructor. Where academic appeal has been filed, hold all graded materials until end of appeal process. Where no academic appeal has been filed--if instructor chooses to retain materials--hold for 5 years after graduation of student. Destroy confidentially.

**Restricted Access:** Records covered by FERPA and may not be released to secondary parties without prior written approval of the student, unless for necessary educational purposes or covered by exemptions.

**ISU-SS-0003 Student – Academic Materials-Graded, Type III, Grade Books**

Faculty records of grades maintained to track individual student performance or progress in a course. May be paper or computer-based.

**Office of Record:** Office of associated instructor

**Status:** Temporary

**Retention:** Maintain in office of instructor of record in a secure location for a minimum of 5 years after end of course. Destroy confidentially.

NOTE: Requests for official grades should be referred to the Registrar.

**Restricted Access:** Records covered by FERPA and may not be released to secondary parties without prior written approval of the student, unless for necessary educational purposes covered by exemptions.

**NOTICE: Student – Disciplinary Records**

Records of discipline of students have been under review for more than two years at the time of publication of the *Schedules*. As accreditation requirements change, so may the requirements for how we document student behavior and performance. In addition, the implementation of a new central computing system, or ERP, has brought many related processes under review. Please refer often to this section for updated guidance on these records.

**ISU-SS-0004 Student – Disciplinary Records-Departmental**

Records created and maintained by an academic department (includes records of faculty, department chair, and/or dean) while pursuing the discipline of a student. Note: Student Affairs Judicial Board, Housing Department, and Academic Standards Committee of Faculty Senate each have specific retention guidance.

**Office of Record:** Academic Department initiating the disciplinary action

**Status:** Temporary

**Retention:** Retain until close of semester when the disciplinary action is taken, plus 2 years, then destroy confidentially, unless otherwise directed by General Counsel or University President.

**Restricted Access:** Per FERPA, only final results of disciplinary actions may be released to non-ISU personnel (example: FBI performing background check). Confidential Record.

**Relevant statutes:** AACRAO Records Retention Guide.

**Vital Record.**

**ISU-SS-0005 Student – Disciplinary Records-Departmental, Academic Dishonesty**

Records created and maintained by an academic department (includes records of faculty, department chair, and/or dean) while pursuing the discipline of a student related to Academic Dishonesty as defined by the Undergraduate Dismissal Policy in the Faculty Staff Handbook (Part 4. Section IX) and by the Student Code of Conduct in the Student Handbook, or graduate student discipline as defined in the Graduate Studies Catalog.

NOTE: Does not pertain to records maintained by Judicial Board (Student Affairs), ISU Housing Department (Student Affairs), Graduate Council (Graduate Studies) or the Academic Standards Committee (Faculty Senate). Each of these offices has specific retention guidance.

**Office of Record:** Academic Department/office pursuing the disciplinary action (initial), Registrar (permanent)

**Status:** Permanent

**Retention:** Transfer to Office of the Registrar (undergraduate students) or Graduate Studies Office (graduate students) following date of final disciplinary decision, regardless of type of appeal, unless otherwise directed by Dean of Students, University Counsel, or ISU President. Records become part of student's official file. Originating department shall not maintain duplicates of any portion of these records following the transfer of final results to Registrar.

**Restricted Access:** Per FERPA, only *final results* of disciplinary actions may be released to non-ISU personnel (example: FBI performing background check). Confidential Record.

**Vital Record.**

**ISU-SS-0006 Student – Disciplinary Records-Student Affairs / Judicial Board**

Documentation of disciplinary actions taken by Student Affairs related to infractions by students as defined in Student Code of Conduct (Student Handbook) as appropriate for Judicial Board to hear and review. Includes but is not limited to suspension, which may be noted on official transcript for a defined period. The Judicial Board officially documents any Presidential decisions on appeals.

**Office of Record:** Student Affairs

**Status:** Temporary

**Retention:** Maintain in secure location until 7 years following the closing date of case (completion of hearings and appeals), then destroy confidentially.

**Restricted Access:** Per FERPA, only final results of disciplinary actions may be released to non-ISU personnel (example: FBI performing background check). Confidential Record.

**Vital Record.**

**ISU-SS-0007 Student – Disciplinary Records-Academic Standards Council (Faculty Senate)**

Documentation of disciplinary actions taken by Academic Standards Council\* related to infractions by students as defined in Faculty Staff Handbook and/or Student Code of Conduct (Student Handbook) as appropriate for this body to hear and review. The Council's conclusions may result in permanent flag on student's transcript that is not eligible for appeal.

\* The Council forms ad hoc committees to hear appeals and to make final decisions.

## Idaho State University Records Program Guide

**Office of Record:** Faculty Senate (initial), Office of Registrar (permanent)

**Status:** Permanent

**Retention:** Faculty Senate office transfers record of decision to Office of the Registrar following final decision of Council or related Board. Records related to decision making created by related Board should be destroyed confidentially 2 years following final results, excluding meeting minutes. Registrar incorporates records into student's permanent file.

**Restricted Access:** Per FERPA, only final results of disciplinary actions may be released to non-ISU personnel (example: FBI performing background check). Confidential Record.

**Vital Record.**

### **ISU-SS-0008 Students – Disciplinary Records-Graduate Council**

Documentation of disciplinary actions taken by Graduate Council related to infractions by students as defined in Faculty Staff Handbook, Student Code of Conduct, and Graduate Catalog as appropriate for this body to hear and review. The Council's conclusions may result in permanent flag on student's transcript that is not eligible for appeal.

**Office of Record:** Graduate Studies

**Status:** Permanent

**Retention:** Following the final results of the appeal or hearing process, transfer record of decision to the graduate student's permanent file. Records related to decision making created by related Board should be destroyed confidentially 2 years following final results, excluding meeting minutes for Council.

**Restricted Access:** Per FERPA, only final results of disciplinary actions may be released to non-ISU personnel (example: FBI performing background check). Confidential Record.

**Vital Record.**

### **ISU-SS-0009 Student – Disciplinary Records-Housing (Involving Police)**

Records of Dean of Students and Public Safety documenting incidents of students involving ISU housing (whether residents or not) where local law enforcement become involved, up to and including arrest and/or conviction. Files include but are not limited to interview notes, hearing minutes and or transcriptions, final ruling or notices of disciplinary judgment to student, copies of police reports, ISU Public Safety reports, or other statements associated with incident. Not to be confused with Student – Housing – Disciplinary Records (see separate retention description).

**Office of Record:** Student Affairs, some records in Public Safety

**Status:** Temporary

**Retention:** Retain until completion of period of disciplinary action or restriction as defined by Dean of Students. Associated process may result in temporary flag on student transcript. Transcript flag shall remain for a period not to exceed 7 years following the end of the formal proceeding; shorter periods may be established through student appeal and Student Affairs review. Destroy all versions of associated records confidentially, regardless of location or format. Dean of Students is responsible for assuring removal of transcript flag.

**Restricted Access:** Per FERPA, only final results of disciplinary actions may be released to non-ISU personnel (example: FBI performing background check). Confidential Record.

**Vital Record.**

**ISU-SS-0010 Student – Disciplinary Records-Housing (Internal Process)**

Documentation of incidents or behaviors directly associated with residency within or in connection with Student Housing. Includes standard incident report forms, copies of ISU Public Safety reports, copies of letters of decision issued to student (copies are sent to Student Affairs and to other offices only as needed to for action, including hall directors and Public Safety).

Note: Incidents involving Pocatello Police are handled by Dean of Student Affairs and are not part of these files. Format: Paper stored in same folders as student housing contracts. Incident Reports stored electronically on designated shared drive, restricted by password and with writeonly

access for staff to perform posting duties (start date: 2004).

**Status:** Temporary

**Office of Record:** Housing

**Retention:** Retain based upon closing date of incident (letter of decision date). Retain until end of fiscal year of closing date, for a total of 7 years. Destroy confidentially.

**Restricted Access:** FERPA, Confidential Record.

**Vital Record.**

**ISU-SS-0011 Student – Scholarship Records (Departmental)**

Documentation of departmental processing and selection of students for scholarships.

**Office of Record:** Office of Origin

**Status:** Temporary

**Retention:** Retain for the award year plus 3 years, then destroy.

**Restricted Access:** FERPA, Confidential Record.

**Relevant statutes:** 20 U.S.C. 1094; 34 CFR § 668.24

**Vital Record.**

**ISU-SS-0012 Student – Advising Records**

Documentation of student advising by faculty and/or staff including recommendations for course selection, degree programs, etc. Not to be confused with the records of the office of Counseling and Testing or similar service departments of the University.

**Office of Record:** Office of Advisor

**Status:** Temporary

**Retention:** Retain until after graduation or last day of attendance, plus 1 year, then destroy confidentially.

**Restricted Access:** FERPA, Confidential Record.

**Vital Record.**

**ISU-SS-0013 Student – Applications/Admissions, Accepted**

Include applications to specific academic programs as well as to ISU in general. May contain application form, letters of reference, transcripts, and related documentation required by the specific application process (Example: Nursing may require proof of current immunization).

**Office of Record:** Enrollment Planning/Admissions, College of Technology/Student Services, Graduate Studies, and Academic Department Offices

**Status:** Temporary

**Retention:** Minimum: 2 years from date of acceptance/admission, destroy confidentially.

## Idaho State University Records Program Guide

Maximum: Last date of contact, plus 5 years, destroy confidentially.

**Restricted Access:** Per FERPA, students/applicants must have access to admissions comments. Confidential Record.

**Relevant statutes:** AACRAO Records Retention Guide

**Vital Record.**

### **ISU-SS-0014 Student – Applications/Admissions, Rejected**

Records of application for admission either to ISU or to specific degree programs, and/or Colleges.

**Office of Record:** Enrollment Planning/Admissions, College of Technology/Student Services, and Academic Department Offices, Graduate Studies

**Status:** Temporary

**Retention:** Retain until beginning of semester of targeted acceptance, plus 1 year, then destroy confidentially.

**Restricted Access:** Per FERPA, students/applicants must have access to admissions comments. Confidential Record.

**Relevant statutes:** AACRAO Records Retention Guide

**Vital Record.**

### **ISU-SS-0015 Student – Departmental/Program-Specific Student "Credentialing" File**

Include materials used to certify that student has fulfilled the program-specific requirements to satisfaction of related accrediting or licensing organizations. May include affiliate or filed experience notes, course content information, and related materials.

**Office of Record:** Academic Dean or Department Chair's Office for Program or Designee

**Status:** Temporary

**Retention:** Retain for 40 years (average work life of graduate) in a secure location with access limited to associated staff and faculty. Destroy confidentially.

### **ISU-SS-0016 Student – Departmental/Program-Specific Student File**

Records of student acceptance to and performance within a specific academic program/discipline. May include, but not limited to applications for acceptance to specialized programs, personal narratives, reference letters/forms, practical exams (example: PACKRAT), trainee registration to study filed with State Licensing Boards, CPR certification, immunization records, curriculum/course of study, and related materials.

**Office of Record:** Academic Dean or Department Chair's Office for Program

**Status:** Temporary

**Retention:** Retain in secure location with access limited to affiliated staff and faculty for 40 years following graduation. Destroy Confidentially.

**CAUTION:** Retain applications and student-specific correspondence in department for five years after graduation and then destroy confidentially.

**NOTE:** Original grade change forms and petitions in department possession at time of graduation shall be transferred to Registrar for permanent student file within one semester of graduation.

**Restricted Access:** Records covered by FERPA, not to be released to persons external to ISU without student's prior written consent. Limited distribution internal to ISU. See ISU FERPA policy. Records of consent must be kept on file permanently in Office of the Registrar.

**ISU-SS-0017 Student – Security Background Checks**  
**Under development at time of first publication.**

This series will include the records of programs/departments/colleges used to determine whether students meet criteria (varies by program requirement) permitting them to enter internships, clinical rotations and related ‘on-the-job’ training needed to complete practical requirements of a specific degree. These records include the criteria language in use to make decisions about background check results and the record of the decisions about specific students based upon these criteria. These records will not include the background check results or the billing records associated with the check. As with other educational records as defined by FERPA, only the final results of a criminal background check decision will be eligible for release without prior consent of the student. (Did the student meet criteria? Yes/No).

It appears that due to accreditation requirements, individual academic programs will have to establish both criteria for passing a criminal background check, as well as how long the record of decision will need to be maintained.

Also under consideration are matters related to the risk to the University and the need to maintain these records for long enough to prove, in a theoretical lawsuit/investigation, that at the time of the decision based on a given background check, ISU made a valid decision to permit/deny a student access to an internship/practicum.

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## B. Specialized Series

1. Athletics\* (AT)
2. Computer Systems Administration (CS)
3. Financial Services Administration (FA)
4. Health Professions Facility\* (HP)
5. Institutional Research (IR)
6. Research / Human Subjects Program\* (HS)
7. Students Records Administration (SR)
8. University Library\* (UL)

\*Included, all others are under development at time of this revision.

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### 1. Athletics (AT)

The following records series describe records specific and unique to ISU Athletics.

#### **ISU-AT-0001 Athletics Compliance Records**

Records associated with the work of Faculty Athletic Representative to NCAA and the NCAA Liaison. May include statistics, reports, recruiting records, budgetary, and associated documentation. Files may also include individually identifiable student athlete information as part of tracking sport and team performance.

**Office of Record:** Faculty Athletic Representative and NCAA Liaison

**Status:** Temporary

**Retention:** Retain in office until completion of NCAA review cycle, then destroy. Records containing specific student information must be destroyed confidentially.

**Restricted Access – FERPA**

Relevant Statutes: NCAA Rules, SBOE Schedule SG-18-295

#### **ISU-AT-0002 Athletics Student File**

Documentation of student athletes' admission to the ISU Athletics program. May include release forms (NCAA and FERPA) and play/performance records specific to student, recruitment history, academic history, and eligibility status reports.

**Office of Record:** Assistant Athletics Director, Coaches Offices, and NCAA Liaison

**Status:** Temporary

**Retention:** Retain until graduation or last date of attendance plus 5 years, then destroy confidentially.

**Restricted Access – FERPA**

Relevant Statutes: NCAA Rules and AACRAO Guidance

This series will be expanded to cover other records unique to Athletics, especially those associated with the Bengal Foundation.

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## 2. Computer Systems Administration (CS)

Under development.

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## 3. Financial Services Administration (FA)

Under development.

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## 4. Health Professions Facility (HP)

The following series apply to all of the various health care clinics and facilities operated by Idaho State University, with the exception of the Pocatello Family Medicine Clinic (operating under the Portneuf Medical Center records program). It does include the Student Health Center unless the records are described elsewhere in the *Schedule*. The designated ISU health care clinics must comply with the Health Insurance Portability and Accountability Act (HIPAA) when handling patient records which are considered protected health information (PHI). Questions regarding the HIPAA Rules and Regulations may be directed to the HIPAA Privacy and Security Officer.

### **ISU-HP-0001 Health Professions Facility – Clinic Administrative Records-Client/Patient Forms**

Records created to document client or patient acknowledgement of clinic policies, practices, requirements—including HIPAA Notice of Privacy Practice. May also include acceptance of responsibility or participation in experiments, agreements to maintain confidentiality of group members for group-based services, and related agreements between clients/patients and counselors, therapists, and other health care professionals in the employ of ISU.

**Office of Record:** ISU Clinic originating the record, including ISU Pharmacy in Student Health Center

**Status:** Temporary

**Retention:** Maintain in secure location for 8 years from last date of contact, then destroy confidentially.

**Restricted Access:** Records fall under the protection of HIPAA, and professional codes of ethics of various societies such as APA.

### **ISU-HP-0002 Health Professions Facility – Clinics-Health Care Records of Adults**

Records of care and treatment of patients/clients age 18 and older at time of first contact. Includes physicians' care notes, referrals made and received, insurance identification information, HIPAA acknowledgement forms, x-rays and related procedures (such as ultrasound and MRIs), laboratory records (both orders for and results received), and related documentation of health care provided to individual regardless of whether filed centrally or in distributed files (laboratory, x-ray, etc).

NOTE: Some records are created in duplicate for convenience of clinic operations. Record copy is version in the patient/client file. All others see relevant retention schedules. A client file becomes inactive based on last date of contact.

**Office of Record:** ISU Clinic originating record

**Status:** Temporary

**Retention:** Maintain in secure location for 8 years from last date of contact, then destroy

## Idaho State University Records Program Guide

confidentially.

**Restricted Access:** Records fall under the protection of HIPAA and professional codes of ethics of various societies such as APA.

Relevant statutes: (HIPAA) 45 C.F.R. § 164.520(e) , § 164.530(j)(2)

### **ISU-HP-0003 Health Professions Facility – Clinics-Health Care Records of Minors (under age 18)**

Records of care and treatment of patients/clients age 17 and younger at time of first contact. Includes physician's care notes, referrals made and received, insurance identification information, HIPAA acknowledgement forms, x-rays and related procedures (such as ultrasound and MRIs); laboratory records (both orders for and results received), and related documentation of health care provided to individual regardless of whether filed centrally or in distributed files (laboratory, x-ray, etc).

NOTE: Some records created in duplicate for convenience of clinic operations. Record copy is version in patient/client file. All others see relevant retention schedules.

**Office of Record:** ISU Clinic originating the record. Most records of this type will occur in Communications Disorders, or in counseling settings treating young children.

**Status:** Temporary

Exception: Records of immunizations administered to minors by the Student Health Center or by its contractual providers are permanent. Retain only the immunization record past the primary period for the file.

**Retention:** Records are maintained in a secure location to age 21 and longer so that at least 8 years have passed from the last date of contact, i.e., both conditions must be satisfied.

**Restricted Access:** Records fall under the protection of HIPAA and professional codes of ethics of various societies such as APA.

NOTE: Extended retention is required due to tort law practice/statute of limitations in Idaho.†

Relevant statutes: (HIPAA) 45 C.F.R. § 164.520(e) , § 164.530(j)(2)

### **ISU-HP-0004 Health Professions Facility – Clinics-Laboratory Records and Orders for Services**

Physician or practitioner orders for laboratory, nuclear or therapy services maintained in office performing service. Includes blood work, x-rays, MRIs, CAT scans, and related electronic/nuclear imaging, physical therapy, counseling, etc.

**Office of Record:** Office performing the service (May be sub-department of Clinic)

**Status:** Temporary

**Retention:** Maintain for 1 year in service office, then destroy confidentially.

**Restricted Access:** Records fall under the protection of HIPAA.

### **ISU-HP-0005 Health Professions Facility – Pharmacy-Prescriptions**

Record of dispensing of medications to students and family members. May include documentation of physician verification of prescriptions, facsimiles from physicians, and other records necessary to confirm the validity of a client's right to fill a prescription.

**Office of Record:** ISU Pharmacy, Student Health Center

**Status:** Temporary

**Retention:** Maintain in secure location for 8\* years from last date of contact/last date filled, then destroy confidentially.

**Restricted Access:** Records are protected by HIPAA regardless of whether client is a student or non-student.

\*This retention meets and exceeds industry standard for prescriptions. This period has been set to match the period for patient/client health care records campus-wide at ISU.

**ISU-HP-0006 Health Professions Facility – Personal, Psychological, or Related Counseling**  
*Not to be confused with faculty academic advising files.*

Records of client/patient contact with licensed psychologists, psychology trainees (doctoral students), and masters of social work and counseling at University Clinics. Client file includes but is not limited to case notes, session notes, scheduling/appointment records, and evaluation reports. May include billing and HIPAA acknowledgements of Notice of Privacy Practice.

**Office of Record:** Psychology Clinic, Counseling and Testing, Counseling Department Clinic.

**Status:** Temporary

**Retention:** Maintain in secure location until last date of contact, completion of counseling, or graduation, plus 8 years, then destroy confidentially. NOTE: for clients under the age of 18, see ISU-HP-0003

**Restricted Access:** Patient/Client records protected by HIPAA.

Relevant statutes: (HIPAA) 45 C.F.R. § 164.520(e), § 164.530(j)(2).

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## 5. Institutional Research

Under development.

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## 6. Research - Human Subjects (HS)

Records of projects dealing with human subjects may be exempt from protocols, however principal investigators should still submit to exemption review by the Human Subjects Committee to ensure ISU's institutional compliance with federal regulations.

### ISU-HS-0001 Research – Human Subjects Documentation

Records and materials, regardless of format, associated with review and approval by Institutional Review Board and/or Human Subjects Committee related to projects that fall within the definition of Human Subjects projects per 21 CFR 56.115, Institutional Review Boards, as revised in 67 FR 9585, Mar. 4, 2002. Includes but is not limited to protocols, approval forms, renewal and extension approvals, correspondence, and related communications between the principle investigator and the Board/Committee.

**Office of Record:** Office of Research-Sponsored Programs, Human Subjects Committee Office

**Status:** Temporary

**Retention:** Retain for 3 years after submission and acceptance of final project report by funding organization. Destroy confidentially. All records relevant to a project shall be held until completion of any audit or disciplinary proceeding, should such occur.

**Restricted Access:** Records accessible for inspection and copying by authorized representatives of the Food and Drug Administration at reasonable times and in a reasonable manner.

**Vital Record.**

**ISU-HS-0002 Research – Faculty/Student Projects Without Funding**

Files associated with the review and approval of faculty and/or student research projects pursued without specific funding. Documentation may include records created by related oversight bodies such as the Human Subjects, Animal Care, Hazardous Materials, and BioSafety Committees.

**Office of Record:** Oversight Committee files and principle investigator

**Status:** Temporary

**Retention:** Retain for 3 years after completion of project, then destroy. Final reports are permanent and a copy should be provided to University Archives. All records relevant to a project shall be held until completion of any audit or disciplinary proceeding, should such occur.

**Caution:** For Hazardous Materials Committee-approved projects, copies of any Material Safety Data Sheets acquired as part of the project should be furnished to Hazardous Materials Office. See ISU-### Safety – MSDS retention description.

**ISU-HS-0003 Research – Internally Funded Projects**

Records and materials, regardless of format, associated with the review and approval of faculty or student research projects performed by any of the standing committees of the Research Coordinating Council, including the Faculty Research Committee, University Research Committee, Graduate Student Research and Scholarship Committee, Arts/Humanities/Social Sciences Research Committee, and Undergraduate Research Committee. Includes but is not limited to protocols, approval forms, renewal and extension approvals, correspondence, and related communications between the principle investigator and the Committee.

**Office of Record:** Committee Office

**Status:** Temporary

**Retention:** Retain for 3 years after receipt of final project report, then destroy. All records relevant to project shall be held until completion of any audit or disciplinary proceeding, should such occur.

**Vital Record.**

See also – ISU-FS-0002 Financial Records-Grant Financial Records and ISU-FS-0003 Financial Records-Grant Proposals and Reports for guidance on financial records of research projects.

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**7. Students Records Administration (SR)**

Under development.

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**8. University Library (UL)**

These series apply to the Eli M. Oboler Library and any other libraries operated by Idaho State University, regardless of the reporting line or physical location. Not all records will occur.

**ISU-UL-0001 Collection Management – Accession Records**

Records documenting how the library gained possession of individual items in its collection. May document purchase of materials, gifts, transfers, and provenance.

**Office of Record:** University Archives, Oboler Library, and Idaho Museum of Natural History

**Status:** Permanent, Archival. Transfer hard copy to University Archives on periodic basis.

**Retention:**  
**Vital Record.**

**ISU-UL-0002 Collection Management – Bindery Lists**

List of books, periodicals, newspapers, etc. sent to bookbinder for binding or repair.

**Office of Record:** Oboler Library and Idaho Museum of Natural History.

**Status:** Temporary

**Retention:** Maintain associated records until completion of service (return of book) plus 1 year, then destroy, regardless of format.

**ISU-UL-0003 Collection Management – Circulation Records, Materials**

Records, regardless of format, documenting circulation of materials such as books, magazines, record albums, video and audio tapes, and computer software (usually associated with another publication). Series does not refer to patron record, only the circulated item, and may include dates circulated.

**Office of Record:** Circulation, Eli M. Oboler Library, also Idaho Museum of Natural History

**Status:** Temporary

**Retention:** Maintain as long as administratively valuable, then purge.

**Vital Record.**

**ISU-UL-0004 Collection Management -- Circulation Records, Overdue Book Records**

Records, regardless of format, documenting overdue amounts and billing notices associated with patrons and materials borrowed by them.

**Office of Record:** Circulation, Eli M. Oboler Library

**Status:** Temporary

**Retention:** Retain until fine is collected or forgiven, then destroy or purge record regardless of format.

**Vital Record.**

**ISU-UL-0005 Collection Management – Circulation Records, Patron Record, Community**

Information on patron used to track overdue materials, access, and circulation privileges for notice of availability of requested items, etc.

**Office of Record:** Circulation Department, Eli M. Oboler Library (Voyager system)

**Status:** Temporary

**Retention:** Retain in system until last date of contact plus 1 year, then purge or overwrite from system.

**Restricted Access:** Access restricted to maintain patrons' privacy rights per Idaho Code 9-340E exemptions from disclosure.

**Vital Record.**

**ISU-UL-0006 Collection Management – Circulation, Patron Record, Faculty/Staff/Emeritus**

Information on patron used to track overdue materials, access, and circulation privileges for notice of availability of requested items, etc. May be affected by borrowing policies specific to class of patron.

**Office of Record:** Circulation Department, Eli M. Oboler Library (Voyager system)

## Idaho State University Records Program Guide

**Status:** Temporary

**Retention:** Retain in system until last date of contact plus 1 year, then purge or overwrite from system.

**Restricted Access:** Access restricted to maintain patrons' privacy rights per Idaho Code 9-340E exemptions from disclosure.

**Vital Record.**

### **ISU-UL-0007 Collection Management – Circulation, Patron Record, Student**

Information on patron used to track overdue materials, access, and circulation privileges for notice of availability of requested items, etc. Retention is specifically affected by university policy barring re-enrollment of students with overdue fines.

**Office of Record:** Circulation Department, Eli M. Oboler Library (Voyager system)

**Status:** Temporary

**Retention:** Retain in system until last date of contact plus 4 years, then purge or overwrite from system.

**Restricted Access:** Access restricted to maintain patrons' privacy rights per Idaho Code 9-340E exemptions from disclosure. Also, FERPA regulates access and use of student information.

**Vital Record.**

### **ISU-UL-0008 Collection Management – Circulation Records, Patron-Specific Information**

Descriptive information about individual patrons created as part of the lending/borrowing process. May include name, identification number, patron type, status, etc.

**Office of Record:** Circulation Department, Eli M. Oboler Library

**Status:** Temporary

**Retention:** Retain until superseded. Purge record when transaction is completed. Destroy regardless of format.

**Restricted Access:** Access restricted to maintain patrons' privacy rights per Idaho Code 9-340E exemptions from disclosure.

**Vital Record.**

### **ISU-UL-0009 Collection Management – Electronic Reserves**

Documents produced as course-specific service to active Faculty/Adjunct Faculty/Instructors. Electronic files created by digital imaging or electronic file transfer, regardless of source material (includes course materials, and articles selected by instructors) and posted for student patron use for period of a course.

**Office of Record:** Eli M. Oboler Library, Circulation

**Status:** Temporary

**Retention:** Maintain no longer than period of copyright release acquired prior to imaging, then purge all versions, regardless of storage media.

### **ISU-UL-0010 Library – Copyright Release Records**

Records documenting permission for use of copyright whether from author, publisher, or services, such as Copyright Clearinghouse.

**Office of Record:** Eli M. Oboler Library, Circulation-Reserves, Electronic Reserves, ILL, IHSL, and University departments acquiring copyright releases.

**Status:** Temporary

## Idaho State University Records Program Guide

**Retention:** Maintain for year of request, plus 3 years, then destroy. Library: Destroy confidentially to protect patron information. Retention per U. S. Copyright Office guide.  
**Vital Record.**

### **ISU-UL-0011 Library – Interlibrary Loan (ILL) Lending Request (Patron-Specific Information)**

Completed forms and related documentation of patron lending requests submitted to other institutions/libraries.

**Office of Record:** Interlibrary Loan, Eli M. Oboler Library

**Status:** Temporary

**Retention:** Retain until confirmation of book return to source library. Purge records of completed requests. Destroy records confidentially, regardless of format. Statistical records should be kept separately.

**Restricted Access:** Access restricted to maintain patrons' privacy rights per Idaho Code 9-340E exemptions from disclosure

**Vital Record.**

### **ISU-UL-0012 Library – Interlibrary Loan (ILL) Search Requests (Borrowing)**

Documentation of items requested from other libraries through interlibrary loan, such as articles and the records related to copyright.

**Office of Record:** Interlibrary Loan, Eli M. Oboler Library

**Status:** Temporary

**Retention:** Retain for 3 years from date of return of publication to source library, then destroy confidentially, regardless of format.

**Restricted Access:** Access restricted to maintain patrons' privacy rights per Idaho Code 9-340E exemptions from disclosure. Libraries should adhere to limitations under: USC 17, Sec. 108, U.S. Copyright Law.

### **ISU-UL-0013 Library – Library Patron Computer Log-in Records**

Minimal documentation of individual patron use (login time, date, name of patron) of Oboler Library computers\* including electronic systems information associated with login utilities installed to provide restrictions to computer use (time limits, etc.). Associated data stored in digital format accessible only to Library Systems personnel is only created to make password restriction utilities functional and not employed for any statistical purposes.

**Office of Record:** Eli M. Oboler Library

**Status:** Temporary

**Retention:** Retain for shortest period possible, then purge or overwrite in accordance with Library Systems policy, approved by University Library.

**Restricted Access:** Data covered by the exemption of the Idaho Public Records law for library patron records.

\*Computers available to students and public patrons for access to Library catalogs, databases, electronic resources, as well as internet access.

## Idaho State University Records Program Guide

### **ISU-UL-0014 Library – Statistical Reports to National Organizations**

Copies of reports furnished to national library organizations such as ACRL and IDEP.

**Office of Record:** Administration, Eli M. Oboler Library

**Status:** Temporary

**Retention:** May be maintained as reference material. Departments and Sections should destroy copies of preliminary statistics and working papers submitted to Library Administration annually.