AACRAO’s Retention of Records Guide: Guide for Retention and Disposal of Student Records

Tuesday, 3:45 pm
Session ID: 057

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University of Medicine and Dentistry of New Jersey

Presenters: Julie Ferguson, UMDNJ-New Jersey Medical School
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Jerry Montag, Grand Valley State University
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Susan Van Voorhis, Univ. of Minnesota-Twin Cities
Session objectives:

- Introduce you to the Guide as a retention policy primer
- Discuss best practices in designing a retention and disposal policy
- Identify and discuss retention schedule recommendations
It’s Tuesday…3:45 p.m.
I am feeling:

1. Oh so happy to be here! Bring on the record retention topics! 0%
2. Tired…when does this session end?
3. Hungry...what’s for dinner? Wonder where should I eat?
The Publication Process...

- Call for authors
- Assignment of Chapters
- Editing
- Publication
Evolution of the Guide

• 1960 - 1st edition – Hard copy, paper records
• 1979 – 1998 - 2nd to 4th editions – emerging technologies: Microfilm, microfiche, computer media
• 2000 – 5th edition - Tech changes, hardware, storage, software
• 2010 – 6th edition - Focus on compliance with Fed regulations, more and more…
Chapter 1
Student Records Retention and Disposal

Principles Governing Records Retention and Disposal:

• Federal Laws and Regulations
• Discipline-specific requirements
• Accreditor requirements
Do you have a records retention policy/program?

1. Yes
2. No
3. I don’t know
Chapter 2
Developing a Records Retention and Disposal Program

• Step 1: Identify Need
  What records exist? Which must be retained? In what medium? How secure will they be? Who needs access?

• Step 2: Inventory of Records
  Record name and location? Who is the custodian? What is the content? What is it’s “shelf” life?
Which of these is not a factor to consider when compiling an inventory?

1. Record name
2. Record custodian
3. Record volume
4. Record reference need
5. Record paper color
6. Filing method
7. Record date range
Chapter 2
Developing a Records Retention and Disposal Program (con’t)

• Step 3: Appraise / categorize records
  Administrative value? Fiscal value? Legal value?
  Legislative value? Historical value?

• Step 4: Create Schedule
  Identify the record series and the destruction schedule. Secure approval after legal/stakeholder review.
Chapter 2
Developing a Records Retention and Disposal Program (con’t)

• Step 5: Publicize and train
  Alert all records custodians to policy requirements; train staff who will reference the policy

• Step 6: Review and update
  It is recommended that you review your policy annually; do not exceed a three year review cycle.
Chapter 4
Methods of Storage

• Paper

• Micrographics

• Computer

• Document Management Systems
Which of the following methods of storage do you use?

1. Paper only
2. Paper and electronic imaging
3. Paper and microfilm/fiche
4. Electronic imaging only
5. Other
Chapter 3
Retention Schedule Recommendations

• How to Use

• Schedules for various document categories
**TABLE 4: SCHEDULE C—STUDENT ACADEMIC RECORDS**

<table>
<thead>
<tr>
<th>Record Series Title</th>
<th>Description</th>
<th>Recommended Retention Period*</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diplomas (returned)</td>
<td></td>
<td>5 years</td>
<td>3, 5</td>
</tr>
<tr>
<td>Graduation lists</td>
<td>Lists of graduates for graduating class</td>
<td>P</td>
<td>1, 3, 5</td>
</tr>
<tr>
<td>Substitution/ waivers</td>
<td>Approvals to meet program requirements with administrative action</td>
<td>5 years AG</td>
<td>2, 3, 5</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3 years AG</td>
<td></td>
</tr>
<tr>
<td><strong>Grade and Scholarship/Deficiency Records</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Exams (final)/graded coursework</td>
<td>Student final grade disputes</td>
<td>1 year CC</td>
<td>3, 5</td>
</tr>
<tr>
<td>Grade appeal/complaint</td>
<td></td>
<td>1 year</td>
<td>3, 5</td>
</tr>
<tr>
<td>Grade book (faculty)</td>
<td>Record of students in course and work completed</td>
<td>5 years CC</td>
<td>3, 5</td>
</tr>
<tr>
<td>Grade change forms</td>
<td>Record of authorization to change grade</td>
<td>5 years AG</td>
<td>2, 3, 5</td>
</tr>
<tr>
<td>Grade reports (final)</td>
<td>Record of grades released to students</td>
<td>1 year DD</td>
<td>3, 5</td>
</tr>
<tr>
<td>Grade reports (midterm)</td>
<td>Record of mid-term grades submitted by faculty</td>
<td>End of term</td>
<td>3, 5</td>
</tr>
<tr>
<td>Grade submission sheets/data</td>
<td>Original record of grades submitted at end of term</td>
<td>P</td>
<td>1, 3, 5</td>
</tr>
<tr>
<td><strong>Miscellaneous Records</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name change authorizations</td>
<td></td>
<td>5 years AG</td>
<td>2, 3, 5</td>
</tr>
<tr>
<td>Personal data information forms</td>
<td>Change of address, race/ethnicity questionnaires, other demographic data</td>
<td>1 year AG</td>
<td>2, 3, 5</td>
</tr>
</tbody>
</table>
Retention Schedule Quiz:
All applicant records must be archived equally regardless of enrollment.

1. True
2. False
Which of the following must be kept permanently?

1. Transcripts, grade rosters and class lists
2. Transcripts, grade book, and dismissal records
3. Transcripts, Grievances and LOA
Records covered under FERPA must be retained permanently.

1. True
2. False
3. It depends...
Chapter 3
Retention Schedule Recommendations

What retention schedule questions do you have?
Chapter 5
Security of Student Records

- Technology and System Planning
- Other considerations
- Recommendations for Staff
Chapter 6
Policy Development – Case Study

• Where to begin?

• Process Summary
Appendices

- Sample Records Inventory Form
- Sample Institutional Records Policy
- Pertinent Federal Regulations
- Policies covering Closed schools
- State Records Management/Archive Websites
Now that you have been through this session, you feel…

1. Great! My record retention policy is up-to-date and valid
2. Uncertain..my policy may need some tweaking
3. Scared! I better get moving on developing a policy!
Thank you!

Please fill out an evaluation form
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