

## University Policy Number 300.02

### Policy on Records Retention

Responsible Administrator: Vice President of Academic Affairs

Responsible Office: Academic Affairs

Originally Issued: September 2010

Revision Date:

Authority: Office of the President

#### POLICY STATEMENT

Claflin University has a responsibility to ensure that records and documents are adequately maintained and to ensure that records no longer needed or of minimal value are destroyed in accordance with Federal, State, or Claflin University policies. The University also has a responsibility to preserve its history through its records.

All records produced or received by Claflin University in the course of official business are the property of Claflin University. Each department may decide when records should be transferred to the University Archives, in accordance with the South Carolina General Records Retention Schedule for State Colleges and Universities. Files must be transferred to the University Archives as originally arranged, as the organization of the files reflects the functions and activities of the office of origin. Each department transferring records to the University Archives will receive an inventory of the transferred records. Records transferred to the University Archives are available to the public and the Claflin University community unless access has been restricted by the office of origin or the President of the University. When records become inactive and are ready to be transferred to the University Archives, the Library Director and the University Archives must be notified. Arrangements must be made by the office of origin to transfer records to the University Archives. Records documenting the development or activities of Claflin University cannot be destroyed without approval from the appropriate Vice President, the President or the Office of Academic Affairs. Destruction of records must also be arranged by the office of origin. Destruction of records must be in accordance with the South Carolina General Records Retention Schedule for State Colleges and Universities/established Claflin University policies and procedures.

## STATEMENT OF PURPOSE

This policy establishes guidelines for the retention of Claflin University records. Records may include, but are not limited to, the following:

- Accreditation Reports
- Meeting Minutes, including Faculty Meeting Minutes, Departmental Meeting Minutes, Special Committee Meeting Minutes
- Annual Reports
- Board of Trustee Meeting Minutes
- Building plans and Blueprints
- Institutional Self Studies
- Organizational Charts
- Photographs documenting University functions, events and activities
- Programs from University events and activities
- Records management plans
- Speeches from Commencement, Convocations, and other University functions
- Publicity and promotional materials produced by the University and the Office of Public Relations
- Senior Theses and Portfolios (open for discussion)
- University and Department/School Conferences, Lectures, Workshops and Seminars

## APPLICABILITY

This policy applies to all records created or produced in the course of Claflin University's operations, including both original documents and reproductions. In addition, this policy applies to records stored on computer and microfilm.

## RETENTION SCHEDULE

The charts below provide details regarding records by area and type along with their retention dates for Claflin University. When the prescribed retention period for records are met, the University Archivist or another designated official of the H.V. Manning Library will direct disposal of the records.

### **Human Resources**

| <b><u>Type of Record</u></b> | <b><u>Retention Date</u></b>                                        |
|------------------------------|---------------------------------------------------------------------|
| Personnel File               | Permanent/ Shirley Biggs, Director of Human Resources, 803-535-5268 |
| Benefits File                | Permanent/ Shirley Biggs, Director of                               |

|                                 |                                                                                                                                                  |
|---------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------|
|                                 | Human Resources, 803-535-5268                                                                                                                    |
| I-9                             | 1 year after termination/ Shirley Biggs, Director of Human Resources, 803-535-5268                                                               |
| Tuition Remission               | 1 year after termination/ Shirley Biggs, Director of Human Resources, 803-535-5268                                                               |
| Recordkeeping Form - Binder     | 5 years / Shirley Biggs, Director of Human Resources, 803-535-5268                                                                               |
| Monthly Invoices/E-Requisitions | 5 years / Ellen Easterlin, HR Asst/HRIS Specialist, 803-535-5517                                                                                 |
| TEA's - Binder                  | 5 years / Shirley Biggs, Director of Human Resources, 803-535-5268                                                                               |
| Leave Form                      | 3 years after termination / Shirley Biggs, Director of Human Resources, 803-535-5268                                                             |
| Employee Relations Files        | Until final disposition of the charge or action or until lawsuit is over plus 1 year. / Shirley Biggs, Director of Human Resources, 803-535-5268 |
| Worker's Compensation Files     | Duration of employment plus 30 years/Betty Johnson-Pringle, Human Resources Generalist, 803-535-5420                                             |

### Fiscal Affairs

| <u>Type of Record</u>                                           | <u>Retention</u> | <u>Contact</u>                                                                                                                           |
|-----------------------------------------------------------------|------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| Financial Records<br>Interpretation of records retention policy | Seven (7) years  | Mr. J. deLeon McDuffie,<br>Vice President for Fiscal Affairs<br><br>803-535-5413                                                         |
| Grants and contracts<br>Grants accounting records               | Three (3) years  | Vice President for Fiscal Affairs, 803-535-5413<br><br>Office of Sponsored Programs, 803-535-5540<br><br>Grants Accountants 803-535-5373 |
| Payroll Records                                                 | Seven (7) years  | Payroll Manager, 803-535-                                                                                                                |

|                             |               |                                                                                                                                                                                                                                                                       |
|-----------------------------|---------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                             |               | 5415                                                                                                                                                                                                                                                                  |
| Litigation or audit records | Not destroyed | Vice President for Fiscal Affairs 803-535-5413                                                                                                                                                                                                                        |
| Legal retention/litigation  |               | Initial inquiry to Vice President for Fiscal Affairs<br><br>Emma Ruth Brittain, Esq.<br>University Counsel                                                                                                                                                            |
| Records storage             |               | Tingley (Sr. Administrative Assistant, Fiscal Affairs, 803-535-5473)<br><br>Electronic imaging and offsite storage (Assistant Vice President for Information Technology, 803-535-5326)<br><br>Physical offsite storage (Director of Auxiliary Services, 803-535-5470) |

### Student Services

| <u>Type of Record</u>           | <u>Retention Date</u>                                                                                                                                                                      | <u>Contact Person</u>                                              |
|---------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------|
| Office of Admissions            | Students who enroll records are transferred over to the Enrollment Office.<br>Students who do not enroll or denied admissions records are kept for one year and then destroy by shredding. | Mr. Michael Zeigler, Director of Admissions<br>803-535-5340        |
| Office of Student Financial Aid | Three (3) years                                                                                                                                                                            | Ms. Terria C. Williams, Director of Financial Aid<br>(803)535-5720 |
| Enrollment Office               | Indefinitely                                                                                                                                                                               | Ms. Roe Berter W. Hunt, Registrar<br>803-535-5471                  |

|                         |                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                       |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|
| Student Health Services | Records must be maintained for at least six (6) years after the last clinical contact, and must be maintained for an additional (2) two years in the event of a death. All records must be released to the client upon request. Reference: HIPAA Regulation dated Feb 3, 2010 and American Health Information Association. Records must be shredded or burned by university records management office. | Juliette D. Satterwhite, RN<br>803-535-5328                           |
| Counseling Services     | Records are retained for seven (7) years, then destroyed by shredding.                                                                                                                                                                                                                                                                                                                                 | Sadie D. Jarvis, Director of Counseling<br>803-535-5285               |
| Judicial Records        | Records are retained for five (5) years, then destroyed by shredding.                                                                                                                                                                                                                                                                                                                                  | Dr. Leroy Durant, VP Student Development and Services<br>803-535-5341 |

**Note: If an office or individual has any doubt if a record should be retained, it should consult with the University Archivist or another appropriate authority of the H.V. Manning Library before destroying any records.**

