

MOORE COLLEGE OF ART & DESIGN RECORDS RETENTION SCHEDULE

Effective June 2006

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MOORE COLLEGE OF ART & DESIGN
GUIDELINES FOR THE DESTRUCTION OF
CONFIDENTIAL RECORDS

Effective June 2006

Introduction

Moore College of Art & Design is committed to protecting the security and confidentiality of certain types of records and information created or obtained in the fulfillment of its mission of higher education. Recognizing the need to codify this intention, the Audit Committee of the Board of Trustees and Managers of the College, on January 13, 2006, adopted an institutional archival and records management policy and established an administrative mandate for its implementation and maintenance.

The "Guidelines for Destruction of Confidential Records" which follow below, are intended to bring existing practices fully into compliance with requirements of the Sarbanes Oxley act.

Statement of Purpose

To strengthen safeguards against the unauthorized or accidental disclosure of confidential records and information at Moore College of Art & Design.

To define confidential records and clarify that definition as needed.

To define appropriate measures for reasonable care in the disposal of confidential information, including its protection during storage, transportation, handling and destruction.

Confidential Records

1. The following types of records will be absolutely confidential:
 - a) individual education records of living students or former students, as defined by the Family Educational Rights and Privacy Act of 1974, as amended, unless the student or former student grants access in writing (in accordance with the guidelines published in the College Student Handbook);

 - b) individual employment records of living current or former faculty members, administrators or other staff members, including records which concern hiring, appointment, promotion, tenure, salary, performance, termination or other circumstances of employment, unless the faculty member, administrator, or staff member grants access in writing.

- c) Records that include "protected health information" as the same is defined by the Health Insurance Portability and Accountability Act of 1996 (HIPAA), 42 U.S.C. 1171 et seq. and regulations promulgated there under;
- d) Other records where usage might constitute an invasion of privacy;
- e) Records the use of which has been restricted by contract.

2. The following types of records generally will be treated as confidential:

- a) all administrative records of the College for twenty-five years from the date of their creation, with certain exceptions, such as those which must be open in conformance with the law;
- b) records of a sitting administration
- c) records the disclosure of which might expose the College to legal liability

Recommended Procedures for Confidential Destruction

4. Retention Period

Only those records retained for a period of time greater than the applicable retention schedule may be disposed of in accordance with these guidelines.

4. Suspension of Record Destruction in the Event of a Claim, Lawsuit, Government Investigation, Subpoena, Summons or other Ongoing Matters

Upon services of legal process (subpoena, summons or the like), or upon learning of an investigation or audit, or if a claim is made, whether formal or informal, or a dispute arises, the records retention schedules reference above shall be suspended and records related to the legal process, claim, dispute, investigation or audit should not be destroyed.

3. Safe and Secure Disposal

College records which have passed through the active phase of their life cycle and are no longer needed in their office of origin for the day-to-day operation of that office, should be identified by office staff and placed on a records retention schedule (see attached

schedules). When those records have reached the conclusion of their retention period, the office of origin will authorize their destruction.

It is therefore recommended that all College offices contact the Director of Operations to arrange for safe and secure destruction of confidential records. The Director of Operations will arrange for pick-up and proper disposal of all confidential records.

It is nevertheless important for all College officers and staff responsible for confidential records to be familiar with methods, which do not permit recovery, reconstruction and future use of confidential information. An overview of these methods follows below.

Paper Records containing confidential information should be shredded and/or pulped, not simply thrown out with other classes of records or with miscellaneous trash. It is recommended that confidential destruction services, including shredding and pulping of bulk records, be arranged through the Director of Operations.

Electronic or machine-readable records containing confidential information require a two-step process for assured, confidential destruction. Deletion of the contents of digital files and emptying of the desktop "trash" or "waste basket" is the first step. It must be kept in mind, however, that reconstruction and restoration of "deleted files are quite possible in the hands of computer specialists. With regard to records stored on a "hard drive" it is recommended that commercially available software applications be utilized to remove all data from the storage device. When properly applied, these tools prevent the reconstruction of any data formally stored on the hard drive. With regard to floppy disks and back-up tapes, it is recommended that these storage devices be physically destroyed. These recommended methods of confidential destruction may be arranged through the Director of Operations.

Film, audio, videotapes containing confidential information should also be physically destroyed not simply thrown away. It is possible to overwrite audio and videotapes with other, non-confidential sound and images, but if this is done, it is recommended that it be done by an authorized member of the staff in the office of origin. Confidential destruction of film, audio and videotapes may also be arranged through the Director of Operations.

4. Confidential Destruction by commercial or non-profit vendor

Confidential destruction performed by approved commercial or non-profit vendors shall be subject to such contractual obligations as required by the Director of Operations. In no case shall such contractual arrangements introduce standards, policy or procedures less protective of confidential records than those rules which are

described in these guidelines and which apply to all College officers and staff.

5. Destruction Record

A destruction record is an inventory describing and documenting those records, in all formats, authorized for destruction, as well as the date, agent (Facilities, Department or individual), and method of destruction. The destruction record itself shall not contain confidential information. The destruction record may be retained in paper, electronic, or other formats. Destruction Record forms will be made available by the Business Office. The Office or individual that authorizes the destruction of records is responsible for maintaining the Destruction Record.

MOORE COLLEGE OF ART & DESIGN

**GUIDELINE FOR IMPLEMENTATION OF
THE RECORDS RETENTION SCHEDULE**

Effective June 2006

Records Retention Schedule

The Records Retention Schedule is a guideline that sets forth the length of time records are recommended to be retained. This guideline applies to all records listed on the schedule to the extent they are maintained by the College, including storage areas. The schedule is intended to cover all College records for which there is a legal, regulatory or management retention requirement.

The records retention schedule applies to records in the inactive phase of their life cycle. The inactive phase of a record begins at the conclusion of an ongoing matter, such as completion of a business contract. Unless otherwise specified, the retention period set forth in the schedule begins at this point in time.

There are records for which there is no legal, regulatory or management retention requirement and those records should be authorized for destruction by the senior officer of each administrative or academic office of origin. It is recommended that such records be disposed of as early as the end of the active phase of their life cycle. Similarly, records that are duplicates should be disposed of as early as practical, unless the retention schedule requires otherwise.

Storage and Disposition

As discussed in the "Guidelines for the Destruction of Confidential Records," offices of origin should authorize destruction of confidential records in ways commensurate with their confidentiality. The records retention schedule is the guide for determining how long records should be retained and maintained. It is the option of the office of origin whether to maintain records in paper or alternate format, such as microform or digital formats, so long as the record is authorized for destruction and disposed of in accordance with the records retention schedule.

Digital or electronic records.

Disposition of records created, retained or stored in information systems or computers should proceed on the same basis as traditional records. Digital or electronic records for which there is no retention requirement, such as e-mail, should be deleted promptly.

**SUSPENSION OF RECORD DISPOSITION GUIDELINES IN THE EVENT OF A
CLAIM, LAWSUIT, GOVERNMENT INVESTIGATION, SUBPOENA, SUMMONS OR
OTHER ONGOING MATTERS.**

Upon service of legal process (subpoena, summons or the like), or upon learning of an investigation or audit, or if a claim is made, whether formal or informal, or a dispute arises, the record retention schedule shall be suspended and records related to the legal process, claim, dispute, investigation or audit should not be destroyed.

MOORE COLLEGE OR ART & DESIGN
RECORDS RETENTION SCHEDULE

Effective June 2006

Academic/Student Records

RECORD CATEGORY	RETENTION SCHEDULE
Admissions records	10 years
Grade records	Permanent
Other academic records	5 years
Career planning and placement	4 years
Class schedules	Permanent
College catalog	Permanent
Degree audit records	5 years after date of last attendance
Disciplinary action records	5 years after graduation or date of last incident
Enrollment statistics	Permanent
Financial aid records	5 years after annual audit has been accepted
Foreign student forms (I-20)	5 years after graduation or date of last attendance
Student academic files (departmental)	5 years after graduation or date of last attendance
Transcript requests	1 year
Tuition fees and schedules	Permanent

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Student Life Records

RECORD CATEGORY	RETENTION SCHEDULE
College publications	permanent
Publications, locally produced	permanent
Student counseling files	5 years after case is closed
Student Health Records	7 years
Student groups and organizations (existence of)	permanent
Student handbooks	permanent
Athletic injury files	7 years
Student Housing Contracts	7 years after termination

**MOORE COLLEGE OF ART & DESIGN
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College Administration Records

RECORD CATEGORY	RETENTION SCHEDULE
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**TRUSTEE BOARDS AND OTHER
GOVERNANCE, COMMITTEES AND
MEETINGS**

Proceedings of the Trustee Board and Committees, Academic Committees, and Administrative reports	permanent
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Records of other committees and meetings	5 years
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CONTRACTS/LEGAL

Design and Construction contracts	Life of building
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Other contracts	7 years after termination
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Insurance policies	permanent
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Equipment warranties	Life of equipment
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Patent, trademark and other intellectual property records	permanent
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Litigation, claims, risk management, incident reports	7 years
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Authorizations for release of records, subpoenas, court orders	7 years
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Real property records	permanent
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Pharmaceutical Assistance contracts	7 years
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REGULATORY RECORDS

Accreditation records	Permanent
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Licensure records Permanent

FACULTY RECORDS

Faculty meeting minutes permanent

Faculty promotion and tenure records, and
tenure review records permanent

Conflict of interest disclosures permanent

SEARCH RECORDS

Presidential search records permanent

Academic search records 2 years from date search is completed

PUBLICITY RECORDS

5 years

PUBLIC SAFETY RECORDS

permanent

MISCELLANEOUS

Annual reports permanent

Commencement lists permanent

Policies and procedures 10 years after withdrawal/revision

MOORE COLLEGE OF ART & DESIGN
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Financial Records

RECORD CATEGORY	RETENTION SCHEDULE
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**ACCOUNTING, FINANCE AND
PAYROLL**

Accounts payable and receivable records	7 years
Book of accounts	7 years
Banking records	7 years
Financial statements; annual reports to government agencies	permanent
Budgets	permanent
Payroll records	7 years
Employee benefit plans	1 year after term of plan
Records of property subject to gain or loss treatment	7 years after taxable disposition
Records supporting items of income, deductions and credits	7 years
Tax returns and supporting records	7 years

DEVELOPMENT

Fundraising	5 years after end of registration period
Endowment	permanent

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Alumni Records

RECORD CATEGORY	RETENTION SCHEDULE
Alumni Club file	permanent
Alumni Council records	permanent
Credential files, students and alumni	permanent
Reunion class files	permanent

MOORE COLLEGE OF ART & DESIGN
RECORDS RETENTION SCHEDULE

Effective May 2006

Human Resources Records

RECORD CATEGORY	RETENTION SCHEDULE
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EMPLOYMENT RECORDS

Records relating to taking of leave under Family Medical Leave Act	3 years
EEOC reports	5 years
EEO-1	7 years
Academic and HR personal files	7 years from termination
In-Service records	4 years
Training programs	4 years
Records of workers employed under special certificates	3 years
Wage-hour administrator certificates and notices	5 years
Immigration records	3 years after hire or 1 year after termination, whichever is later
Attendance records	3 years
Other employment records	3 years

OCCUPATIONAL SAFETY AND HEALTH RECORDS

Medical test and screening required by law	30 years after employee termination
Records of personal or environmental monitoring of exposure to hazardous substances	30 years after employee termination

Employee records of significant adverse effect to health or environmental hazards 30years after employee termination

Employee records of allegations concerning exposure to environmental hazards against employer 30years after employee termination

Other employee health records 7 years after employee termination

BENEFITS; PENSION PLANS

Description of benefit plans, seniority of merit pay systems 1 year after term of plan

Pension plan descriptions and ERISA benefits 6 years

UNION ORGANIZATION RECORDS

Collective bargaining agreements 7 years from conclusion of contract

Reports of activities including payment, loans, promises to or agreements with union organizing activities 7 years from conclusion of contract

Records of activities related to union organization 7 years from conclusion of contract

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Physical Plant & Equipment Records

RECORD CATEGORY	RETENTION SCHEDULE
CONSTRUCTION	
Building plans and specifications	Life of building
FACILITIES	
Operational manuals	Life of building
Records related to measurement of noise in work environment	4 years
Records of fire, internal disaster and evacuation plan drills	4 years
Records of fire department inspection	4 years
Written report and evaluation of all external disaster plans	4 years
HEALTH AND SAFETY	
Records of inventory, use and control of radioactive materials	30 years
Records of disposal or abatement of toxic and hazardous waste	30 years
Transportation of infectious waste	30 years
Records of hazardous waste generating	30 years
Records of employee exposure to hazardous substances	30 years
Records of asbestos exposure	30 years

Health and Safety training 4 years

EQUIPMENT

Records of required testing of fire protection equipment 4 years

Records of periodic inspections of extinguishing systems Until the container is re-inspected or its life

Material hoists, personnel hoists and elevator standards and certification records 4 years

Records of inspection, performance, exercising period and repairs of emergency power equipment 4 years

Evidence of required hydrostatic testing or portable fire extinguishers Until hydrostatically retested at stated intervals or until taken out of service

Mechanical and electrical equipment checks 4 years
