

| Functional Area | Record Series Title | Record Category Number | Records Series Description | Office of Record Retention | Method of Disposal | Confidential | Legal Reference |
|-------------------|--|------------------------|---|----------------------------|--------------------|--------------|--|
| Accounting | | | | | | | |
| | Audit Reports and Workpapers | 010202 | This record series contains audit reports received from audits conducted by external auditors employed by the University or by outside parties. Includes fiscal, performance, academic, athletic, and compliance audits. | 10ACFY | Recycle | No | |
| | Budget | 010405 | This record series contains the approved annual and/or biennial budget and other schedules used for budget monitoring. | 6ACFY | Archive | No | |
| | Proposed Budget and Working Papers | 010406 | This record series contains documentation created during preparation and submittal of the annual/biennial budget process. | 6ACFY | Recycle | No | |
| | Receipts and Cash Transaction Records | 010501 | This record series contains information that provides a verification of payments received for goods or services provided by the department for transactions not related to grants. May include journal tapes from a cash register, cash receipt books, receipts, mail logs, departmental deposits cash daily activity, commission records, etc. | 3ACFY | Recycle | No | |
| | Banking Records | 010602 | This record series contains records relating to deposits of cash, checks, check registers, cancelled checks, etc. with a financial institution or approved off-campus center. | 10ACFY | Shred | Yes | Account Number is exempt per NDCC 44-04-18.9 |
| | Bond Issue Books | 011001 | This series contains records related to bonds issued, including all legal documents regarding the bond issue. It also provides a historical record of the transactions. | LB+6 | Archive | No | |
| | Monthly Financial Reports | 011002 | This record series contains monthly reporting of financial transactions. Includes revenue and expense reports, fund summary, fund summary transaction reports, and reconciliation to these reports. | 3ACFY | Recycle | No | |
| | Annual Financial Statements and Reports | 011003 | This series contains the Annual Financial Reports and the Annual Financial Statements for the college/university. The Audited Financial Statement may be completed by the State Auditor's Office or another third-party auditing agency. | 10ACFY | Archive | No | |
| | Paid Bonds and Coupons | 011004 | This series contains paid bonds and coupons. | LB+6 | Shred | Yes | SSN is confidential per NDCC 44-04-28 |
| | Sales Tax Returns | 011005 | This record series contains information that documents sales tax collection for college/university services provided to other outside entities. | 4ACFY | Recycle | No | |
| | Inventory - Major Equipment | 011201 | This record series contains property inventories of major equipment owned by the college/university. | 10ACFY | Recycle | No | |
| | Inventory - Minor Equipment and Supplies | 011202 | This record series contains inventories of minor equipment and supplies owned by the college/university. | 3ACFY | Recycle | No | |
| | Inventory - College/University Stores | 011203 | This record series contains information on inventories held by college/university stores, such as dining services, facilities, etc. | 10ACFY | Recycle | No | |
| | Chart of Accounts | 011302 | This record series contains records relating to creation and changes to the chart of accounts. | 10ACFY | Recycle | No | |
| | General Ledger/Journal Entries | 011303 | This record series contains general ledger and journal entries showing annual financial transactions. | 10ACFY | Recycle | No | |

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| | Accounts Payable | 011502 | This record series contains records documenting expenditures and purchases from entities outside of the college/university. This includes billings, invoices, request for payments, refund/disbursements, vouchers, check copies, cancelled checks, registers, journal entries, adjusting memos, etc. that show creation and payment of financial obligations. | 10ACFY | Shred | Yes | SSN is confidential per NDCC 44-04-28 |
| | Accounts Payable Reporting | 011503 | This record series contains reports generated for review or balancing of accounts payable system. | 1MO | Shred | Yes | SSN is confidential per NDCC 44-04-28 |
| | Inter-departmental Billings | 011504 | This record series contains records documenting activities and charges owed by internal college/university departments and functions to other departments. | 10ACFY | Recycle | No | |
| | Receipts/Cash Transaction Records | 011505 | This record series contains information that provides a verification of payments received for goods or services provided by the department. May include journal tapes from a cash register, cash receipt books, receipts, mail logs, departmental deposits, cash daily activity, etc. | 10ACFY | Recycle | No | Legal value per 45 CFR 74.53 and 34 CFR 74.53 |
| | Credit Card Transaction Documentation | 011506 | This records series contains credit card slips/sales receipts which document any transaction in which a credit card is used. PCI Data Security Standards require this information to be locked in a secure location and the information must be kept for a minimum of 18 months. These slips MUST not contain the CVC code, which must be shredded immediately. | 3ACFY | Shred | Yes | Account numbers are exempt per NDCC 44-04-18.9 |
| | Employee Payroll Files | 011603 | This record series contains information related to payroll information of an individual employee, including but not limited to: employee benefits (i.e. tuition rate reductions, flex benefits, retirement benefits, etc.), deduction forms (i.e. university meal plan deductions, Payroll Deducted Parking), health insurance forms, tax forms (W-2s, W-4s), and other information related to employee payroll (garnishments, federal wage levies, notices from collection agencies, child support, court documents, etc.). This also includes notices of appointment and one-time pays. | 10ACFY | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value per NDAC 27-02-02-01; 29 CFR 1627.3; 29 CFR 516.5(a) |
| | Payroll Reports | 011604 | This record series contains forms and reports dealing with worker's compensation, insurance, labor distribution, and similar reports and deductions. This also includes Payroll reconciliation reports, abstracts, banking reports, salary and fringe reports, flex benefits, and TIAA/CREF reporting. These reports are used by the office for administrative purposes only. | 5ACFY | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value per NDAC 27-02-02-01; 29 CFR 1627.3; 29 CFR 516.5(a) |
| | Tax Reporting | 011605 | This record series contains W-2, W-4, and filings with state and federal tax authorities for social security withholding, worker's compensation, and unemployment. | 13 | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value per 26 USC 6501 and 26 USC 6502 |
| | Accounts Receivable | 011804 | This record series contains a record of charges to customers for any goods or services rendered or collected by the institution. May include journal entries and adjusting memos, work orders, and subsidiary records reflecting customer charges for goods or services and payments or credits applied to the account. | 10ACFY | Recycle | No | |
| | Accounts Receivable Reporting | 011805 | This record series contains various reports concerning accounts receivable. | 1MO | Recycle | No | |
| | Delinquent Accounts/Collections | 011806 | This record series contains records associated with attempts to collect delinquent debts. Includes records associated with collection efforts using outside agencies and legal processes. | 6 ACM (after collection, debt matures, or service provided) | Shred | Yes | SSN is confidential per NDCC 44-04- 28; Legal value per NDCC 28-01-16 |
| | Indirect Cost Study | 900107 | This record series contains information documenting the indirect cost rate that is negotiated with the federal government. | 6AT | Recycle | No | |

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| Administrative | | | | | | | |
| | Fundraising Records | 011006 | This record series contains information that documents efforts to raise money and other contributions through contact with alumni and other contributors. This record series may include requests for fund-raising; approvals and priorities; solicitations; and related documentation, reports and correspondence. Active ceases with the completion of the fund-raising campaign. | WA+3 | Archive | No | |
| | Gifts/Donations | 011007 | This record series contains the documentation of tangible and intangible donations given to the university. It includes information that documents potential or realized private or corporate funding. This record series may include certificates of gifts, donor records, letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates, and related documentation, reports and correspondence. *Retain in the office while active, then send to the State Archives or University Archives. | PERM | Retain | No | |
| | Ticket/Event Sales | 011807 | This record series contains records relating to event or ticket sales activity. This includes event and ticket sales for the athletic department, performing arts, or other activities sponsored by the college/university. Records may include stock orders; ticket type reports; stock purchase records; box office balance sheets; printing and control records; season ticket sales listings; voided tickets, mail order receipts and orders; third party and telephone sales records; ticketmaster reports; complimentary ticket distribution records; merchandise and concession inventory records; deposits and correspondence relating to ticket sales. | 3ACFY | Recycle | No | |
| | Instructional Development Funding Requests | 020202 | This record series contains information on funding requests from faculty for instructional development. | 5ACFY | Recycle | No | |
| | Agendas and Minutes | 220110 | This record series contains agendas, minutes, notes, and reports that record the actions and transactions taken by college/university departments, divisions, committees, councils, and similar groups. | 6ACFY | Archive | No | Executive session minutes are confidential per NDCC 44-04-19.2(5) |
| | Executive Session Recordings | 220111 | This series contains recordings used within the scope of an executive session of a meeting. | 3ACFY | Shred | Yes | Legal value and confidential per NDCC 44-04-19.2(5) |
| | Bylaws | 220313 | This record series contains bylaws for committees. | UD+3 | Archive | No | |
| | Training-Professional Development | 350101 | This record series contains information on the various professional development courses offered by the university specifically for college/university staff and faculty. This includes sign up and completion lists and general information on the class. This does not include transcripts. | 3ACFY | Recycle | No | |
| | Training Materials-Safety and Environmental | 350102 | This series contains information and materials on safety and environmental training developed or provided by the college/university. May include course listings, schedules, training program materials, administrative records, sign-in sheets and reference materials. Includes classes for lead, asbestos, hazardous wastes/materials, defensive driving and others. | UD+3 | Recycle | No | |
| | Retreats/Workshops/Seminars/ Conferences | 350501 | This record series contains documents pertaining to the organization and planning of a retreat, workshop, camp, clinic, seminar or conference. | 6ACFY | Archive | No | |
| | Equipment Information | 430101 | This record series contains repair reports, maintenance, manuals, warranties, and licenses. | LOE+6 | Recycle | No | |

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| | Daily Operation Logs | 430301 | This record series contains documentation of the daily operations of the Radio station. This may include transmit readings, tower light checks, and emergency alert tests. The office of record is normally the originating department. | CY+2 | Recycle | No | NOTE - In General Schedule 430301 = Log Books - dealing with university equipment, not the Radio Station. |
| | Log Books | 430301 | This record series contains information on the times and usage of college/university owned equipment as well as access to computer secured areas and also may include shuttle bus records. | 3ACFY | Recycle | No | |
| | Work Orders/Project Requests | 430501 | This record series contains a record of requests for repair and/or maintenance of facility or property. | 3ACFY | Recycle | No | |
| | Administrative Correspondence | 450103 | This record series contains documents sent or received intra- office, intra-campus, or with external organizations or individuals that contain significant information. The information may be used for fiscal or administrative purposes. | 3ACFY | Recycle | No | |
| | Executive Correspondence | 450104 | This record series contains information sent or received intra- office, intra-campus, or with external organizations or individuals that documents significant events and the development of administrative structure for the college/university. It may also include the historical development of an office/department. This type of correspondence may include, but is not limited to, letters; memoranda; or acknowledgements sent or received. | 6ACFY | Archive | No | |
| | General Correspondence | 450105 | This record series contains documents sent or received intra- office, intra-campus, or with external organizations or individuals that pertain to any communications that does not contain any significant information. The correspondence is general in routing or nature. | 1ACFY | Recycle | No | |
| | Organizational Charts | 650301 | This record series contains a graphical display of the organizational structure of the college/university. | UD+3 | Archive | No | |
| | Disposition Records | 650401 | This record series contains documentation of records disposed in accordance with the Records Retention Schedule and the Records Management Program. Records may include, but are not limited to, Records Disposal Request, Records Disposal Authorization, Certificate of Records Disposal, and computer-generated disposal listings. | 6ACFY | Recycle | No | |
| | Records Inventory | 650402 | This record series contains documentation on the types of records located in college/university departments and offices. | UD | Recycle | No | |
| | Records Retention Schedule | 650403 | This record series contains a listing of the types of records maintained by the college/university and the period of time after which destruction is authorized. | UD+3 | Recycle | No | |
| | Directives / Policies / Procedures / Guidelines | 650501 | This record series contains all college/university policies, procedures and guidelines. | UD+3 | Archive | No | |
| | Reference Material | 720103 | This record series contains information maintained for reference purposes only. | WA | Recycle | No | |
| | Mailing/Phone Lists | 720301 | This record series contains a record of addresses for information requests and mailing purposes. It also includes phone lists for departments at the college/university which are used to update phone directories. | UD | Recycle | No | |

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| | Building Key Records | 750201 | This record series contains documentation of key request information related to the requisition, inventory, and return of university-authorized keys. Active ceases when the key has been turned into the lock shop or the locks have been changed for any unaccountable keys. | WA+3 | Shred | Yes | Student information is confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Identification Card Information | 750202 | This record series contains applications from anyone applying for a college/university issued ID card. This includes faculty, staff, and students. | 6ACFY | Shred | Yes | Exempt per NDCC 44-04-18.1 and FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Traffic/General Vehicle Information | 750203 | This record series contains information on vehicles registered for any faculty, staff, or student parking on campus. This includes any parking tickets received and any tickets appealed. | WA | Recycle | No | |
| | Environmental Regulation Records | 750401 | This record series contains documentation that is required to be kept by environmental regulatory agencies, such as the Environmental Protection Agency (EPA) or the North Dakota State Health Department. This includes, but is not limited to, Air Pollution Control Title V Permit to Operate; quarterly, semi-annual, and annual reports and other related supporting documentation or correspondence under Title V of the Clean Air Act. | 10ACFY | Recycle | No | Legal value per 40 CFR |
| | Departmental Files | 800101 | This record series contains information on each of the different departments on campus, including graduate and undergraduate programs. It includes information on history, documentation on restructuring, trends and other statistics, enrollment numbers, academic program information etc. It does not include organizational charts or financial information. | WA+3 | Archive | No | |
| | Engineering (Wiring) Files | 800206 | This record series contains FCC applications, mock inspection files, and wiring documents. | 5 | Recycle | No | Legal value per FCC guidelines |
| | Federal Communications Commission Files | 800207 | This record series contains documentation required by the FCC for licensing. This may include maps, agreements, etc. | 6ACFY | Recycle | No | Legal value per FCC guidelines |
| | Events | 800324 | This record series contains information on events that are planned by a department, such as graduation, homecoming, recognition ceremony for staff personnel, show records, etc. | 6ACFY | Archive | No | |
| | Printing Requests/Service | 800325 | This record series contains information furnished in order for printing centers to carry out a printing job. This may include samples of the job, correspondence etc. This does not include billing information. | 3ACFY | Recycle | No | |
| | Building/Construction/Plant Improvement | 800703 | This record series contains information on the college's/university's buildings. This may include construction, contracts, change orders, architecture plans, additions, plant improvements, and correspondence. | LOB+3 | Archive | No | |
| | Engineering Design Records | 800704 | This record series contains drawings, blueprints, specifications, standards, and other technical data. Active ceases with disposition of property. | WA+3 | Archive | No | |
| | Technical Reports | 800901 | Record series contains technical/progress reports submitted to sponsoring agencies and publications. This includes any support documentation that a grant or contract has been fulfilled. | 10ACFY | Recycle | No | |

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| | Projects | 810101 | This record series contains information documenting the activities of an office which are performed in addition to its regular duties. This series may include completed surveys and questionnaires, working papers for the project, questionnaire and survey forms; and other related correspondence. For surveys or questionnaires that a department completes and retains a reference copy, create a record under the survey record series. *Active ceases with the completion of the project. The office of record normally is the originating department with transfer records to Archives. | WA+3 | Archive | No | |
| | Outside Income Reporting Letters | 850101 | This record series contains information provided to the president disclosing extra income received by coaches from other sources for services rendered. The office of record normally is the Office of the President. | 3ACFY | Recycle | No | |
| | Travel Records | 850301 | This record series contains general information concerning any travel arrangements for personnel. Financial records are included in accounts payable. | 3ACFY | Recycle | No | |
| | Surveys | 900108 | This record series contains information on internal surveys. This may include, but is not limited to, faculty and staff salary surveys. NOTE: The final results or report of the survey should be sent to the State Archives or 5 University Archives. The supporting documents are to be recycled or shredded if they contain confidential information. | | Archive final survey results only | No | |
| | Annual Reports | 900206 | This record series contains a summary of departmental, college/university, or division activities by year. | 6ACFY | Archive | No | |
| | Reports/Plans | 900207 | This record series contains adhoc reports, progress reports, final reports, strategic plans, disaster plans, or other reports/plans not associated with another project or service. For departmental annual reports, use Annual Reports record series. | 3AFRS | Archive | No | |
| | Space Reports | 900208 | This record series contains information related to the allocation of physical space. | 3ACFY | Archive | No | |
| | Land Abstracts - Easements | 300502 | This record series consists of all land acquisitions/sales/exchanges for property owned by the University. These are to be retained permanently and maintained in a fire proof area in the vault on the VPFA Office. Office of Record is Office of VPFA. | PERM (has archival value) | Archives | Yes | Legal value: 20 years after the State sells the land to a private person, NDCC 28-01-07. |
| | Honorary Doctorate Materials | 600101 | This record series contains information relating to Honorary Doctorates given by NDSU. This information is to be retained permanently. The Office of Record normally is the President's Office. | PERM | Archive | Yes | |
| | Costume Shop Records | 800330 | This record series contains information for the Costume Shop. Records included in this series but not necessarily limited to includes costume related information for the costumes for an LCT production, actor measurement sheets, original patterns. The records do not include the students ID or SS number, but do include measurements of the student's body taken in preparation for purchasing or constructing a costume for the actor. Office of Record normally is the Division of Fine Arts. | WA | Shred | Yes | NOTE - In General Schedule 800330 = Exhibit Records / Shelf List Records. |
| Athletics | | | | | | | |
| | Sports Information | 020402 | This record series contains information on the current and past athletes who have competed for the college/university. This may include pictures, press releases, newspaper articles, and other related documentation. | UD | Archive | No | |

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| | Athletic Recruitment | 020501 | This record series contains information on prospective athletic students and for what sports they are being recruited. This may include high school transcripts, test scores, etc. | CY+1 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Competition/Trip Records | 800326 | This record series contains a summary record of individual games and competitions. This may include sport name, opponent name, date, event location, final score, player names and positions, and time played per athlete, etc. | 1ACFY | Recycle | No | |
| | Athletic Aid Eligibility | 801101 | This record series contains record of verification by intercollegiate athletics of student athletes' academic progress to the NCAA. These records include computer generated academic progress reports. | UD+3 | Recycle | No | |
| | Athletic Compliance | 801102 | This record series contains documents used to comply with athletic guidelines and NCAA requirements, including eligibility, housing releases, and drug tests of students. | 6ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Championship Competition Reports | 900209 | This record series contains a listing of all the activities the teams do while attending a championship tournament. This is used for reporting to the NCAA. | 3ACFY | Recycle | No | |
| | Gender Equity Reports | 900210 | This record series documents the progress made by gender equity in sports over the years. | UD+3 | Archive | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) if the reports contain personally identifiable information |
| Communications | | | | | | | |
| | Public Relations Material | 260102 | This record series contains press releases, newspaper clippings, promotional materials, brochures, bulletins, and other related items for college/university publicity. | UD | Archive | No | |
| | Newsletters/Publications | 260403 | This record series contains information on specific events, summary of events, current happenings, etc. | UD | Archive | No | |
| | Audio/Visual Presentations | 260701 | This record series contains digital photographs, film, and photographic proofs and negatives of college/university activities, and presentations for internal and/or external presentation. | WA | Archive | No | |
| | Scripts | 260702 | This record series contains scripts written for university sponsored programming like Studio One. The office of record normally is the originating Department. | WA | Archive | No | |
| Curriculum | | | | | | | |
| | Continuing Education Units (CEUs) | 020201 | This record series contains applications, rosters, setup and approval forms, and a description of the CEU activities for the courses approved by Continuing Education. | 3ACFY | Recycle | No | |
| | Non Credit Correspondence Courses | 020401 | This record series contains information on the different non credit courses approved by Continuing Education. This may include applications, grades, and other information on students taking the courses. The office of record normally is Continuing Education. | 3ACFY | Recycle | No | NOTE - In General Schedule 020401 = Release of Information. |
| | Record of Co-Curricular Activities | 020402 | This record series contains information on Co-Curricular Activities. This includes co-curricular transcripts. The office of record normally is the Memorial Union. | WA+1 | Shred | No | NOTE - In General Schedule 020402 = Sports Information. |

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| | Academic Administrative Records | 020203 | This record series contains information that documents the daily administrative responsibilities of colleges, departments, or schools concerning their respective academic programs. This includes graduate, undergraduate, and continuing education courses for university credit. This series includes rosters/class lists, course files, enrollment statistics, registration reports, convenience copies of reports prepared by the office of registration, degree/graduation lists and registration forms, and other related documents. | 3ACFY | Archive | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Course Lecture Notes/ Handouts/Master Copy of Exams | 020204 | This record series contains faculty lecture notes, handouts, master copy of exams, and miscellaneous instructional materials. | UD | Recycle | No | |
| | Educational Catalog Records | 020205 | This record series contains a record of institutional policies and procedures, program requirements, and course offerings. Information in the individual catalogs includes academic policies and procedures, program names and descriptions, course names and descriptions, credits offered per course, and related programs and course information. This series may include copies of undergraduate, graduate, and summer catalogs, and the time schedule of classes. | UD | Archive | No | |
| | Program and Course Request Records | 020206 | This record series contains information that documents the requested approval, and the implementation of undergraduate, graduate, professional degree programs, Continuing Education Programs, and any other reorganizations or changes to established programs. This may include curriculum action documentation, working papers, final reports, related course descriptions, outlines, syllabi, sample examinations, text book lists, etc. | UD+3 | Archive | No | |
| | Student Evaluations | 020207 | This record series contains a summary report of the evaluations done on advisors, instructors, and courses. Departmental office may maintain a copy of the instructor evaluation summaries in the faculty personnel file. | 10ACFY | Recycle | No | |
| | Borrower's Records - Active | 020304 | This record series consists of borrowers records that are still active. Records included in this series include but are not necessarily limited to include deferments, cancellations, rehabilitations, consolidation, assignment forms, past due notices, exit & entrance interviews, loan references and collection agency placement. When accounts are paid in full, these records then become part of the Borrower Records - Paid in Full Record Series. Office of Record is Student Loan Servicing Center | 6ALA | Shred | Yes | 6 years after last action, per NDCC 28-01-16. NOTE - In General Schedule 020304 = Satisfactory Progress for Financial Aid Eligibility. |
| | Borrower's Records - Paid in Full | 020305 | This record series consists of borrowers records that are paid in full. Records included in this series include but are not necessarily limited to deferments, cancellations, rehabilitations, consolidation, assignment forms, past due notices, exit & entrance interviews, loan references and collection agency placement. Office of Record is Student Loan Servicing Center. | 3ACFY | Shred | Yes | NOTE - In General Schedule 020305 = National Student Loan Clearinghouse. |
| | Class Scheduling Records | 020208 | This record series contains documentation for the development of class schedules by academic departments for inclusion in the final time schedule of classes and final exam schedule. This includes IVN classes. | 3ACFY | Recycle | No | |
| | Grade Book (Class Record) | 020601 | This record series contains a record of grades, kept by the professor, received by each student in an academic course. This includes both electronic and paper varieties. | 5ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |

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| | Accreditation Records | 020701 | This record series contains information that documents the process and status of the accreditation of the college/university itself, and individual colleges, schools, departments, and programs. Included are self-study records, response letters, letter of re-accreditation, lists of accredited schools, revisions, etc. Includes documents supporting the process and status of becoming accredited and/or activities associated with confirming the accreditation status of the school. | ACM (Current + Previous Accreditation Period. Minimum: 3ACFY) | Archive | No | |
| | Veterinary Diagnostic Laboratory - Records - Retain Permanently | 800301 | This record series contain proficiency and check test results and certificates of achievement for the labs. These records are not discarded as they show that the labs are competent with their testing. Office of Record is the originating department. | PERM | Retain | Yes | |
| | PPTH - EM Lab Record Series | 800304 | This record series contains records from PPTH-Labs. Records included in this series include but are not necessarily limited to Individual Microscope slides, Individual Microtomy Specimens, Original demonstration photographs for tours, Individual TEM Negatives. These records are retained permanently. Office of Record normally is PPTH-EM. | PERM | Retain | Yes | |
| | Rural Leadership North Dakota | 800305 | This record series other pertains to applications to participate in the Rural Leadership ND program (which are confidential) along with supporting documentation, i.e. letters of recommendation, and evaluations of seminars, etc. Office of Record is Extension IBID. | 3ACFY | Shred | Yes | |
| | Soil Science Testing (Historical) | 800306 | This series contains results of soil testing done by Soil Research Scientists and is used for comparison and research purposes. This data is Historical Soil Service Records. KEPT INDEFINITELY FOR COMPARISON. Office of Record is Soil Sciences. | PERM | Archive | No | |
| | Soil Science Testing (Individual) | 800307 | This includes records of Soil Test Results and Reports given to individuals who have requested a test on their soil. These are not used for research purposes and are a service provided by NDSU. The results will be shredded after two years. Office of Record is Soil Science. | 2 yrs. | Recycle | No | |
| | Veterinary Diagnostic Laboratory Records | 800308 | This record series contains records from the Vet Diagnostic Laboratory. Records included in this series but not necessarily limited to include case reports, procedure log books, quality control documents, sample logs, case check in sheets, sample tracking, shipping permits, complaint logs for cases done at VDL. Office of Record normally is Veterinary Diagnostic Laboratory Department. | 7ACFY | Shred | Yes | |
| | Pesticide Client Files | 800333 | This record series contains pesticide certification exams, Appointment of Agent forms, proof of financial responsibility, study material/training, pre-registration requests, reciprocal applications and Training Registration forms. All of this information is also in our Client database. | 3ACFY | Recycle | No | NOTE - In General Schedule 800333 = Adult Complaint Files |
| | Patient Records for Teaching Purposes | 020207 | This record series contains a partial copy of patient medical records used for teaching purposes. The office of record normally Medical Education IPC | 1ACFY | Shred | Yes | NOTE - In General Schedule 020207 = Student Evaluations. |

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| | Professional Licensure Exam Results | 020405 | This record series contains passing results of students graduating from professional major. Report includes names of students who passed or didn't pass as result of exam. Office of Record is the originating department. | PERM | Retain | Yes | NOTE - In General Schedule 020405 = Graduate File. |
| | Program Evaluations | 020702 | This record series contains evaluations of each undergraduate and graduate academic program. | CR+1 (Current + Previous Period) | Archive | No | |
| | Export Control | 050401 | This record series contains records pertaining to the Export Controlled technology, software, materials or other assets. Office of Record is the originating department. | PERM | Retain | Yes | |
| | Textbook Order Records | 801201 | This record series contains information that documents what books were ordered for the various courses taught in the department. | 2ACFY | Recycle | No | |
| Financial Aid | | | | | | | |
| | Disbursement Records | 020301 | This record series contains signatures of students who have received financial aid disbursements, scholarship checks, and other credits to student's accounts. This includes the form signed to authorize checks to be mailed to the student. | 3ACM (after canceled, repaid or satisfied) | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99); Legal value per 34 CFR 668.24 & 34 CFR 674.19 |
| | Financial Aid Records | 020302 | This record series contains records of students financial information in accordance with their attendance at the university. This may include program of study enrollment status and duration, award letters, applications for financial aid, and admission records. | 3 ACM (After Award Year) | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99); Legal value per 34 CFR 668.24 |
| | Financial Aid Reports | 020303 | This record series contains the operations reports and grant and scholarship reports of the Student Financial Aid Office. | 3 ACM (After Award Year) | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99); Legal value per 34 CFR 668.24 |
| | Satisfactory Progress for Financial Aid Eligibility | 020304 | This record series contains information on students who fail to meet the criteria to receive Federal financial assistance. This may include student letters of appeals; letters and worksheets from Student Financial Aid Office; and decision of Appeals Board (i.e. meeting minutes and letters to students). | 5ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| Grants | | | | | | | |
| | Effort Reporting | 800902 | This record series contains information on the distribution of effort for employees paid by grant funding. | 10ACFY | Shred | Yes | SSN is confidential per NDCC 44-04-28 |
| | Grant Proposals | 800903 | This record series contains grants, contracts, and fellowships that have been applied for, but the college/university has not received notice whether the proposals have been awarded or not awarded. For proposals that are awarded, transfer to the Grants/Contracts record series. For the proposals that are not awarded, return to the Principal Investigator (PI) or the originating department and that party will then become the office of record and must retain until the retention requirement has been fulfilled. | 1ACFY | Shred | Yes | Confidential per NDCC 44-04-18.4 |
| | Grant Reports | 800904 | This record series contains information reported on various grants and the status of each. This includes lobbying certification disclosure reports and presidential reports. | 3ACFY | Recycle | No | Legal value per 34 CFR 74.53 and 45 CFR 74.53 |

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| | Grants/Contracts | 800905 | This record series contains grants or contracts that have been awarded for which the university provided research, instruction, or other services to a sponsor or third party. This may include award letter/notice, proposal, correspondence, equipment inventory (final), final report, etc., This record series may also contain fellowships. | 10ACFY | Recycle | No | Legal value per 34 CFR 74.53 and 45 CFR 74.53 |
| | Financial Summary Reports | 800906 | This record series contains a record of monthly grant financial transactions. This may include Principal Investigator summary reports, detailed transaction reports, etc. | 10ACFY | Recycle | No | Legal value per 34 CFR 74.53 and 45 CFR 74.53 |
| | Recharge Center Data | 011008 | This record series contain Service Center descriptions, budgets and annual rate data. Individual departments maintain their data with the compiled data for the University being maintained by Grants and Contract Accounting. | 3ACFY | Recycle | No | |
| | Grant and Contract Funding Opportunity | 720103 | This record series contains general information on grants and contract funding opportunities. May include funding opportunities and fellowship information. Active ceases when the administrative value is lost or no longer current. The office of record normally is the originating department. | WA | Shred | Yes | NOTE - In General Schedule 720103 = Reference Material. |
| | Chart of Accounts | 800902 | This record series contains a summary of all existing grants. The office of record normally is Grants and Contracts. | 10ACFY | Recycle | No | NOTE - In General Schedule 800902 = Effort Reporting. |
| Human Resources | | | | | | | |
| | Compensation Records | 011606 | This record series contains information that documents overtime hours earned for compensation purposes and compensatory hours used or requested. Does not include overtime hours paid monetarily on the regular hourly reporting form. | 5ACFY | Recycle | No | Legal value per NDAC 27-02-02-01 |
| | Student Employment Payroll Reports | 011607 | This record series contains various reports concerning student employees. This includes workstudy and institutional positions. Included in this series would be record of earnings reports. | 5ACFY | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value per NDAC 27-02-02-01 |
| | Professional Organizations | 140109 | This record series contains various information from professional organizations to which an employee is a member. | WA | Recycle | No | |
| | Employee Health Records | 190101 | This record series contains general health information on all employees. This may include current shot information and blood tests required by OSHA. | 30AT | Shred | Yes | Confidential per NDCC 44-04-18.1 |
| | Biographical Records | 260101 | This record series contains biographical data for institutional faculty, staff, and other significant people. The records are used for public information releases and referenced by the institutional staff to provide responses to inquiries. This series may include but is not limited to: biographical sketches, vitae, photographs, personal history sheets, newspaper clippings, retirement notices, and obituaries. Active ceases when no longer needed administratively. | WA+3 | Archive | No | |
| | Applications/Recruitment Records | 600203 | This record series contains resumes, applications, letters of recommendation, and interview documentation on applicants screened for jobs at the college/university, including faculty, staff, and post-doctorate positions. The successful applicant's records are then filed with their personnel file. | 6ACM (after selection made) | Recycle | No | Legal value per 29 CFR 1627.3(b)(1)(i) |

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| | Job Applications | 600203 | This record series contains applications for student employment. Records included, but not limited to, are applications and related correspondence. If applicant is selected transfer record to Student Employment Records (600605). If not hired, leave in this record series until retention period has been met. The office of record normally is the department employing the student. | 3ACFY | Shred | No | NOTE - In General Schedule 600203 = Applications/Recruitment Records - This record series contains resumes, applications, letters of recommendation, and interview documentation on applicants screened for jobs at the college/university, including faculty, staff, and post-doctorate position. DISTINCTION is that the NDSU series is dealing with just students! |
| | Search Committee Records | 600204 | This record series contains a record of committee actions to publicize a position, responses from candidate, offers made, or commitments to hire. Includes correspondence, candidate evaluations, vitae, notes, etc. Department of Record is chair, secretary/recorder or department. EXCEPTION: Presidential, VicePresidential, Deans, and Directors searches go to University Archives. | 3ACFY | Shred | Yes | |
| | Credentials | 600604 | This record series contains information on current credentials, license and continuing education records. | WA+3 | Recycle | No | |
| | Student Employment Records | 600605 | This record series contains resumes, student's class schedule, employment registration forms, and other related correspondence on undergraduate, graduate, and medical student employees. This series documents the student employee's work history and contains records for work-study and institutional student employees. | 6AT | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value per NDCC 28-01-16(5) |
| | Faculty Personnel Files | 600606 | This record series contains information that documents the faculty member's work history. It includes information such as job title, rank and education, employment background, grant work, training, and certifications. This may include copies of a request to recruit, request to appoint, initial vitae, letter of intent, letters of reference, academic records, supplements, tenure forms, yearly contracts, listing of grant work, and students' evaluations of course and instructor summary sheets. This includes both academic and clinical faculty. Note: The official personnel file may consist of different information than the department. This includes appointments and contracts, summer session faculty files, and Extension Program Instructor Files. | 6AT | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value per NDCC 28-01-16(5) |
| | I-9 Forms | 600607 | This record series contains the employee's citizenship status and other personal information. | 3AT | Shred | Yes | SSN is confidential per NDCC 44-04- 28; Legal value per 8 CFR 274a.2 |
| | Position Descriptions | 600608 | This record series contains documentation of position titles and descriptions by position number. Active ceases when the position description is updated or no longer used. | WA+3 | Recycle | No | Legal value per 29 CFR 1627.3(b) |
| | Staff Personnel Files | 600609 | This record series contains non-faculty personnel files which includes routine personnel forms and other employee related records. The records are used to document period of employment, position change, salary, goals, training, and certifications. | 6AT | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value per NDCC 28-01-16(5) |
| | Designated Medical Provider Forms | 600610 | This series contains forms completed by employees designating their choice of medical provider should a work-related injury occur. | UD+1 | Shred * If SSN included | No | SSN is confidential per NDCC 44-04-28 |

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| | Calendar Books | 600702 | This record series contains records documenting the official work schedules and appointment books kept by university personnel. | CY+2 | Recycle | No | |
| | Departmental Leave | 600703 | This record series contains a record that summarizes leave status and leave donations for each employee by department. This also includes justification and documentation regarding donation of leave, leave reports, leave donation sheets, employee leave forms, and departmental leave reports. | 3ACFY | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value 29 CFR 516.5 |
| | Time Reporting | 600704 | This record series contains a record of hours worked. This includes hourly payroll reporting forms, time cards, and time slip correction forms. | 10ACFY | Shred | Yes | Exempt per NDCC 44-04-18.1; Legal value NDAC 27-02-02-01 |
| | Grievances | 601301 | This record series contains information relating to the filing of grievances and records of all proceedings in the settlement of disputes on the campus of faculty, staff, and students. Internal memos, notes, research, and duplicate copies may also be a part of the record series, but shall be shred when the file is closed. Active ceases with the resolution of the grievance. | WA+6 | Shred | Yes | Student information is confidential per K168 Legal value per NDCC 28-01- 16(1) |
| | Volunteers | 601502 | This record series contains applications, letters of reference, and a list of training with their certificates on the different volunteers that donate their time. | WA+3 | Recycle | No | |
| | Annual Employee Notification of Policies | 601503 | This record series contains documentation showing acknowledgment, through a signed and returned form, that each university employee was notified of any new policies as well as to serve as a reminder of existing policies. | 3ACFY | Recycle | No | Legal value per 29 CFR 1627.3(b) |
| | Market Data | 601504 | This record series contains market salaries by position for the college/university. | CY+1 | Recycle | No | |
| | Post Doctorates | 800327 | This record series contains requests to recruit, request to appoint, and any other information concerning post doctorates. | 6AT | Shred | Yes | SSN is confidential per NDCC 44-04-28 |
| Information Technology | | | | | | | |
| | Software Inventory | 011204 | This record series contains inventory reports generated by IT and department inventory records of software that is installed on college/university computers. | WA+6 | Recycle | No | |
| | Telephone Log | 430302 | This record series contains a listing of telephone calls made by college/university personnel and residents. Logs include individual date, time, caller, originating telephone number, recipient telephone number and length of call. | 3ACFY | Recycle | No | |
| | Network Flow Data | 430303 | This record series contains documents including extremely high volume captures of network traffic such as session initiation, IP addresses, port numbers, and packet content. The data is used for forensic investigations and problem troubleshooting. | 3ACFY | Shred | Yes | Confidential per NDCC 44-04-27 |
| | Software Licenses | 430801 | This record series contains documents regarding the purchase of software and the software license agreements. | 6AE | Recycle | No | |

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| | Information Technology Security Violations | 650701 | This record series contains documents and findings related to incidents of possible violations of acceptable use policies and procedures for electronic communications devices for students, employees, and others. This may include records of the Acceptable Use Review Committee (AURC), incident reports, notes, equipment seizure and chain of custody forms, computer or related forensic examination results and samples, and evidence (storage media, hard drives, etc.). Active ends when case is resolved for stand-alone records. | WA+6 | Shred | Yes | Confidential per NDCC 44-04-27; Legal value per NDCC 28-01-16 |
| | Computer System Access Requests | 750204 | This record series contains information on the passwords and user IDs given to college/university personnel for use on the computer systems that have access to confidential information. This includes Computer Center Security Forms. | 4AT | Shred | Yes | Confidential per NDCC 44-04-27 |
| | Telephone Passwords | 750205 | This record series contains information on the authorization codes given to university personnel for use in making long-distance phone calls. This also includes student's code information. | 3ACFY | Shred | Yes | Confidential per NDCC 44-04-27 |
| | E-Rate Documents | 011009 | This record series contains documents including but not limited to the E-Rate "Letter of Agency" and Form 479 sent to and collected from North Dakota School Net consortium school districts as part of the federal E-Rate reimbursement program. These forms are a mandatory component of the process that EduTech administers on behalf of the school districts and includes original signed forms. The program is administered by the Universal Service Administrative Company (USAC) and the Federal Communications Commission (FCC). Office of Record is IT. | 5ACFY | Recycle | No | |
| | Managed Printing Systems Records | 430304 | This record series contains records of campus computer lab printer use since GoPrint printing management system installation, user account "allocations" and usage reports. Some records may be in the Bison Card, Blackboard transaction server office and contain name and student or employee ID numbers. | 3ACFY | Shred | Yes | |
| | Help Desk Records | 800311 | This record series contains documents relating to IT Help Desk Remedy system "tickets" recording problems, service requests, etc. NDSU and NDUS mix. Active ceases when incident is closed. Office of Record normally is ITS. | WA+6 | Shred | Yes | |
| | System Logs | 750206 | This record series contains automatically created and purged log files of access, administrative system events (i.e. in computers, routers, data switches, and other electronic devices), and network or local application transactions of the server, routers, data switches, and other electronic devices (i.e. web server logs). | 3ACFY | Shred | Yes | Confidential per NDCC 44-04-27 |
| Legal | | | | | | | |
| | Affirmative Action | 180102 | This record series contains reports dealing with affirmative action requirements made by the government. | 6 | Recycle | No | Legal value per NDCC 28-01-16 |

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| | Equity and Diversity Records | 180401 | This record series contains documents relating to Equity and Diversity Issues. Records typically included but are not necessarily limited to Anti-Racism/AntiBigotry/Anti-Discrimination, Programs, EEOC Complaints, Legal issues relating to Equity & Diversity Issues, Demographics for NDSU. Office of Record is normally the Office of Equity and Diversity. | 3ACFY | Shred | Yes | |
| | Contracts/Leases/Agreements | 300103 | This record series contains legal documents, correspondence, and reports related to the negotiation, fulfillment, and termination of a contract, lease, or agreement. | 6AE | Recycle | No | Legal value per NDCC 28-01-16 |
| | Program Lists and Sponsored Programs | 800204 | This record series contains sponsored show agreements and program lists. This includes program logs. The office of record normally is originating department. | CY+1 | Recycle | No | |
| | Underwriting Files | 800205 | This record series contains scripts and contracts for underwriting agreements. office of record normally is originating department. | 6AT | Recycle | No | |
| | Requests for Information | 450106 | This record series contains general inquiry requests such as enrollment, grade verifications, general information on individual academic departments and Open Records Requests. | 1 | Recycle | No | Legal value per NDCC 44-04-21.1(1) |
| | Litigation Files | 500401 | This record series contains records related to threatened or asserted litigation or investigation. This series contains the official litigation file with any orders, pleadings, correspondence, and discovery related to litigation. | 6ACC | Shred | Yes | Ongoing investigations are exempt per NDCC 32-12.2-11; Legal value per NDCC 28-01-16(1)(5) |
| | Legal Opinions | 500501 | This record series contains documentation from legal counsel detailing facts which result in rules, policy, or administrative procedures. Internal memos, notes, and research may be included. | UD+3 | Recycle | No | |
| | Copyright Documents | 501401 | This record series contains copyright documents belonging to the institution. Includes documentation of registration and submittals to Library of Congress. | 95 | Recycle | No | Legal value per 17 USC 302, 304 |
| | Service Provider Copyright Infringement Claims | 500801 | This record series contain documents including but not necessarily limited to Take down notices and other correspondence and document pertaining to claims of copyright infringement made to the designated agent for the North Dakota Higher Education Computer Network (for all NDUS schools) or the campus IT Security Officer and others providing case follow-up. This may include take down notices, pre-litigation letters, data hold requests related to copyright infringement claims, subpoenas, and follow-up correspondence. Active ends when the case is resolved for stand-alone records. | WA+6 | Shred | Yes | |
| | Copyright Records / General | 720104 | This record series contains general information on copyright laws, regulations, and any reference material related to copyrights. office of record normally is the Library | WA | Recycle | No | |

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| | Patent/ Trademark Applications | 501403 | This record series contains information that documents the application process for patents/trademarks. Included are applications, contract reviews, patent/trademark searches, evaluations, and other related documents and correspondence. Issued patents are transferred to LEG-70-10. Office of record is normally originating department. | WA+6 | Shred | Yes | |
| | Patents/ Trademark Issued | 501404 | This record series contains issued patents/trademarks and related documentation. It may include contract awards, patent/trademark documents, patent agreements, progress reports, and any correspondence that provides a means of defense for a patent/trademark. Office of record normally is originating department. | WA+6 | Shred | Yes | |
| | Clery Act (Campus Security) | 750207 | This record series contains crime logs, campus security reports, registered sex offenders (students, faculty, staff), and other documents relating to the Clery Act. | CY+6 | Recycle | No | |
| Library | | | | | | | |
| | Circulation Records | 800328 | This record series contains information that documents the borrowing of library materials by qualified patrons. This series may include the name of the borrower, the titles of materials borrowed, the due date, overdue information, and related correspondence and documentation. | 3ACFY | Shred | Yes | Confidential per NDCC 40-38-12 |
| | Collection Records | 800329 | This record series contains information that documents the acquisition or transfer of materials or information. This series may include information on the collection itself, inventory lists, database reports, payment information, cancellation information and related correspondence and documentation concerning the collections. | 3ACFY | Recycle | No | |
| | Exhibit Records/Shelf List Records | 800330 | This record series contains information that documents the display and use of materials held by the library. This series includes advertisements for the exhibit, layout and design, photographs of the exhibit, exhibit ideas, and related documentation and correspondence about the exhibit. | 3ACFY | Recycle | No | |
| | Inter-Library Loan Records | 800331 | This record series contains information that documents the borrowing/lending inter-library loan process for college/university materials. This series may include requests, borrower/lender approvals, transaction slips, and related correspondence. | 3ACFY | Recycle | No | |
| | ND Institute for Regional Studies | 260402 | This record series consists of all materials published by the Institute. Office of Record normally is the ND Institute for Regional Studies. | PERM | Archive | No | |
| | Publications-Patent / Trademark Information | 720105 | This record series contains general information pertaining to patents/trademarks. May include guidelines and brochures concerning the patent process. office of record normally is the library. | WA | Recycle | No | |
| | PromptCat Profiles | 800316 | This record series contains PromptCat and Physical Pre-processing profiles records which detail the specifications involved in our criteria for which bibliographic records and physical processing is to be purchased. They are considered "live and active" until replaced with a new profile or until service is ended. Office of Record normally is the library | WA+1 | Shred | Yes | |

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| | MARcive Reports | 900206 | This record series includes reports which indicate the specific bibliographic records which are being purchased as well as the cataloging specifications applied. They support the Documents Depository Program. Office of Record normally is the library | 1ACFY | Shred | Yes | NOTE - In General Schedule 900206 = Annual Reports. |
| | Archival Collection Records | 800342 | This record series contains information that documents the acquisition or transfer of archival materials or information. This series may include information on the collection itself, inventory lists, database reports, payment information, cancellation information and related correspondence and documentation concerning the archival collections. | PERM | Retain | No | |
| Purchasing | | | | | | | |
| | Surplus Property Disposal | 011205 | This record series contains records of sales or disposal of surplus property owned by the colleges/university. Includes valuations, bills of sale, and receipts. | 10 | Recycle | No | Legal value per 34 CFR 74.53 if acquired with grant funds |
| | Purchase Orders/ Requisitions/Purchase Cards | 011507 | This record series contains records of purchases requested or authorized by college/university departments. | 10ACFY | Shred *If SSN included | Yes | SSN is confidential per NDCC 44-04- 28; Legal value per 34 CFR 74.53 if acquired with grant funds |
| | Bids | 300701 | This record series contains requests for proposals and documentation related to bids submitted for prospective goods and services, including prime contracts. | 10ACFY | Recycle | No | |
| Research | | | | | | | |
| | Animal Inventory | 011206 | This record series contains records that document daily counts of animals. The office of record normally is the department conducting the research. | 10ACFY | Recycle | No | |
| | Internal Proposals (Unrestricted) | 300104 | This record series documents the review of all internal proposals. Includes, but is not limited to, SSAC funding, Faculty Research Seed Money, and RDC funding. Record may contain actual proposal, supporting documentation, and related correspondence for both approved and denied applications. Active ceases with the completion of the research or the termination of approval process. The office of record normally is Sponsored Programs Administration. | WA+6 | Shred | No | |
| | Patent / Trademark Income / Expense / Inventor Share Payments | 501402 | This record series contains financial records indicating patent/trademark income and expenses, the documentation of inventor share payments or distribution of funds, and other related documentation or correspondence. Office of Record normally is originating department. | WA+6 | Shred | Yes | |
| | Animal Protocols | 800321 | This record series contains documents related to research projects involving animals. This record series may include title of the project, name of the principal investigator, and funding agency. Animal protocol proposals and proposed significant changes need to be retained for the duration of the animal activity plus an additional 3 years. Denied proposals must be retained for 3 years. Active ceases with the completion of the animal activity. The office of record normally is the department conducting the research | WA+3 | Shred | Yes | |

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| | Research Proposals | 800322 | This record series contains information that documents the review of research proposals that go before university compliance committees. This may include, but not limited to, those research proposals that go before the Institutional Review Board (IRB) or the Institutional Biosafety Committee (IBC). Records may include the actual proposal submitted to the appropriate committee, human subject review forms, sample surveys or questionnaires, recombinant DNA research forms, and other related correspondence. Active ceases with the completion of the research or the termination of approval. The office of record normally is Sponsored Programs Administration. | 3APC - whichever longer=after project completion, or while active (completion of research or termination of approval) | Shred | Yes | Legal value: 3 APC per 45 CFR 46.115(b) |
| | Research Journals | 800323 | This record series consists of records including but not limited to Research Journals which contains researchers chronological records maintained contemporaneously of research activity, Conception records of ideas. Record of details of experiments and results. Office of Record normally is RCA/CNSE | WA | Shred | Yes | |
| | Sponsored Program Records | 800324 | This record series contains records dealing with Sponsored Programs. Records included in this series include but are not necessarily limited to Original Proposal Transmittal Forms, Federal Compliance Assurances (OLAW, FWA), Registration with USDA, OBA, Office of Research Integrity. Office of Record normally is Sponsored Programs. | WA+3 | Shred | Yes | NOTE - In General Schedule 800324 = Events |
| | Financial Interest Disclosure | 800908 | This record series contains the form completed by the principal investigator and key personnel that discloses financial interest that may result in a conflict of interest. The office of record normally is the Dean's offices or Department Head. | 10ACFY | Recycle | No | |
| Safety and Security | | | | | | | |
| | Insurance Policies | 470201 | This record series contains information related to insurance carried by the college/university. | PERM | Retain | No | Legal value per NDCC 28-01-16(1) |
| | Insurance Policy Claims | 470301 | This record series contains information on insurance claims, including billings, incident reports, and correspondence. | 6 ACM (6 years after claim or age 19, if juvenile involved) | Recycle | No | Legal value per NDCC 28-01-16(1) and NDCC 28-01-25 |
| | Workers Compensation Claim Files | 470302 | This series contains information which documents claims made by employees under Workers Compensation Insurance. Records typically include, but are not limited to, initial Incident Report, Worker's Claim for Injury (Form C-2), Employer's Report of Injury (Form C-2), Doctor's Report of Injury (Form C-3), Prior Injury Questionnaire (Form C-16) when indicated, workability updates, dismissal statement when appropriate, and other related correspondence. Active ceases with the termination of employment or the end of permanent disability, whichever occurs later. | WA+4 | Shred | Yes | Confidential per NDCC 65-05-32; Legal value per NDCC 65-05-35 |
| | Employee Exposure File | 750106 | This series contains records and reports of employee exposure to hazardous materials, chemicals or harmful physical agents. Includes incident reports, investigation files, medical surveillance, treatment and related records. | 30AT | Shred | Yes | Confidential per NDCC 44-04-18.1 (1); Legal value per NDCC 28-01-16 |

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|-----------------|----------------------------------|------------------------|---|--|--------------------------|--------------|---|
| | Incident Reports - Employees | 750107 | This series contains records and reports of accidents or incidents incurred by an employee of the college/university, as well as any follow-up investigation documentation. This does not include formal claims made against the college/university. If formal claim is made, transfer records to the Workers Compensation Claim Files. | 3 | Shred | Yes | SSN is confidential per NDCC 44-04- 28; Pending claims are exempt per NDCC 32-12.2-11; Legal value per NDCC 32-12.2-02(4) and NDCC 28-01-22.1 |
| | Incident Reports - Non-Employees | 750108 | This record series contains reports of any accidents or incidents incurred by non-employees or visitors, as well as any follow-up investigation documentation. This does not include formal claims made against the college/university. If a formal claim is made, transfer records to the Litigation Files. | 3 | Shred | Yes | SSN is confidential per NDCC 44-04- 28; Pending claims are exempt per NDCC 32-12.2-11; Legal value per NDCC 32-12.2-02(4) and NDCC 28-01-22.1 |
| | Safety Inspections | 750301 | This series contains records relating to inspections of fire equipment, testing of fire extinguishers, and records of fire drills conducted on university grounds or facilities; asbestos; environmental regulations; X-Ray registration; and survey meters. Includes mitigation records of deficiencies. | CY+3 | Recycle | No | |
| | General Safety Information | 750402 | This record series contains information related to safety issues. | 3ACFY | Recycle | No | |
| | Hazardous Waste Forms | 750403 | This record series contains the requests to pick up and/or dispose of hazardous waste. It also tracks the movement of chemicals and wastes coming into and going out of the college/university. | PERM | Retain | No | Legal value per 40 CFR 262.40 |
| | Chemical Inventories | 750405 | This record series consists of chemical inventories at the university. Records included in this series but not necessarily limited to include hazardous materials and/or substances including name, amount, units, hazard classification, CAS#, etc. Office of Record is UPSO and/or the originating department. | UD | Shred | Yes | NOTE - In General Schedule 750405 = Preventative Ergonomic Files |
| | Medical Surveillance Records | 750406 | This record series contains documentation on the University's respiratory protection and medical surveillance programs. Active ceases with the termination of employment. The office of record normally is the Safety Office . | WA+30 | Recycle | No | |
| | Radioactive Materials Records | 800320 | This record series contains information on radiation and radioactive materials and any research done with them. This includes research files, sealed and open sources of radiation, and disposal files. The office of record normally is Safety. | AE-after expiration of license (Term of Lease) | Transfer to Health Dept. | Yes | Legal value: retain until license terminated, then transfer to Health Dept. per NDCC 33-10-04.1-15 |
| | Safety Data Sheets | 750404 | This record series contains information and safe handling procedures for toxic and/or hazardous chemicals. Superseded SDS sheets may be recycled if the changes are administrative in nature and the chemical properties of the substance have not been changed. | WA+30 | Recycle | No | Legal value per 40 CFR 262.40 |
| | Preventative Ergonomics Files | 750405 | This record series contains information that documents the assistance given to employees to prevent repetitive musculoskeletal injuries. Records typically include, but are not limited to, ergonomic worksheets; changes made at the time of assessment; recommendations; and other related correspondence. If file becomes a workers compensation claim, transfer to the Workers Compensation Claim File. | 1AT | Shred | Yes | Personal information is exempt per NDCC 44-04-18.1 |

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| | Adult Citation Files | 800332 | This record series contains information on all infractions by adults cited by the police department. | ACM (10 yrs after expiration of sentence or 5 yrs after case is closed). | Shred | Yes | Personal information, active criminal intelligence information, and active criminal investigative information are exempt per NDCC 44-04-18.7 |
| | Adult Complaint Files | 800333 | This record series contains information on all complaints filed at the campus police department, including investigative and evidence information. | ACM (10 yrs after expiration of sentence or 5 yrs after case is closed). | Shred | Yes | Personal information, active criminal intelligence information, and active criminal investigative information are exempt per NDCC 44-04-18.7 |
| | Juvenile Files | 800334 | This record series contains complaints against juvenile subjects and citation files in which the person cited was a juvenile. | ACM (Until subject is 20 yrs old, or case is closed, whichever is longer) | Shred | Yes | Confidential per NDCC 27-20-52 |
| | Police Incident Reports | 900211 | This record series contains incident reports written by campus police. | 7ACC | Recycle | No | |
| | Police Work Schedules | 600704 | The record contains the 24/7 Police work schedule. It contains the employees name along with what shift they are working during the month. The schedule page contains a 27-day work schedule | 7 yrs. | Shred | Yes | NOTE - In General Schedule 600704 = Time Reporting. |
| Student Health | | | | | | | |
| | Patient Medical Records | 190102 | This record series contains patient medical information. May include diagnosis, treatments, medications, doctor appointments, test results, X-Rays, X-Ray cards, patient histories, and patient charts. | 6ACM (6 years after patient is 19 or last treatment date, whichever is longer). | Shred | Yes | Confidential per NDCC 44-04-18.16 and FERPA (20 USC 1232g; 34 CFR Part 99); Legal value per NDCC 28-01-18, 28-01-25 |
| | Drug and Alcohol Evaluations | 190103 | This record series contains drug and alcohol evaluations that may be either court mandated, requested by students for counseling reasons, or for accident reports. This includes the Counseling Center's evaluations. | 7ACFY | Shred | Yes | Confidential per HIPAA Public Law 104-191 |
| | Prescriptions | 800335 | This record series contains the prescriptions received by the pharmacy. | 6ALA | Shred | Yes | Confidential per HIPAA Public Law 104-191 and FERPA (20 USC 1232g; 34 CFR Part 99); Legal value per NDCC 43-15-31 and 43-15-31.1 |
| | Patient Billing Records | 800908 | This record series contains itemized billing records for services rendered. The office of record normally is Student Health Services or Customer Account Services. | 6ACFY (6 years after billing date) | Shred | Yes | Legal value: 6 years after billing date per NDCC 28-01-16(1) |
| | Immunization Records | 800336 | This record series contains proof of immunization information regarding MMR and TB testing, as required for admission. This series also contains immunization reports from mass immunization clinics, such as meningitis and influenza. | 6ACM (6 years after patient is 19 or last treatment date, whichever is longer). | Shred | Yes | Confidential per HIPAA Public Law 104-191 and FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Narcotics Inventory | 801103 | This record series contains an inventory of all Federally controlled prescriptions. It also includes an inventory of narcotics used in the Pharmacy Lab courses for instructional purposes. | 3ACFY | Recycle | No | Legal value per 21 CFR 1304.04 |

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| | Student Health Reports | 900212 | Record series contains reports generated by student health containing statistical information and trends. Also includes the supporting and preparation documents, such as the other medical ledgers. | CY+3 | Shred | Yes | Confidential per HIPAA Public Law 104-191 and FERPA (20 USC 1232g; 34 CFR Part 99) |
| Students | | | | | | | |
| | Residency Application | 012201 | This record series contains residency applications from students in order to calculate tuition rates. | 3ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Admission Applications | 020101 | This record series contains the applications prospective students fill out in order to attend the college/university. If accepted, move to Student Academic Records. | 3ACFY | Shred | Yes | SSN is confidential per NDCC 44-04-28 |
| | Admission Applications - No Money | 020102 | This record series contains applications received over the internet or mailed without the processing fee enclosed. If payment is received, move to Admission Applications. | 1ACFY | Shred | Yes | SSN is confidential per NDCC 44-04-28 |
| | Graduate Admission Applications | 020103 | This record series contains correspondence, applications, transcripts, equivalency diploma, residency affidavit, and re-admission forms of students. If accepted, move to Academic Records-Graduate. | 3ACFY | Shred | Yes | SSN is confidential per NDCC 44-04-28 |
| | Articulation Agreements | 020209 | This record series contains information on agreements between the college/university and other colleges or universities for the transfer of course credit. | UD+3 | Archive | No | |
| | National Student Loan Clearinghouse | 020305 | This record series contains a report stating the academic enrollment status of students. | 3ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Promissory Notes | 020306 | This record series contains students' promissory notes from federal, state, and university loans. | AFP+3 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99); Legal value per 34 CFR 668.24 |
| | Release of Information | 020401 | This record series contains documentation allowing the college/university to release student information to a third party. This may include disciplinary, financial, or academic records, along with any other information specified by the particular form signed by the student. | CY+3 | Shred | Yes | FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Academic Records-Non-Permanent | 020403 | This record series contains information on student academic history that is not retained on a permanent basis. Records include, but are not limited to, transfer transcripts, applications for admission, letters of recommendation, receipts for application fee, petitions, name and social security number changes, dismissal and reinstatement records, student death records, withdrawals, degree audit files, and other information and forms relating to a student's academic record. This includes information on undergraduate, graduate, professional, and continuing education students. | 5 ALA | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Academic Records-Permanent | 020404 | This record series contains information on student academic history that is retained on a permanent basis. This includes academic records, grade rosters, and change of grade forms. This pertains to undergraduate, graduate, and continuing education (for-credit) students. | PERM | Retain | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Graduate File | 020405 | This record series contains information on all past graduate students who have attended the university. Includes graduate cards maintained by university departments. | CY+35 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |

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| | Non-Degree Student Files | 020406 | This record series contains information on students taking graduate classes, but are not enrolled in a graduate school program. | WA+5 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Study Abroad Student Files | 020407 | This record series contains information on students who are studying at universities in other countries. | CY+5 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Advisement | 020408 | This record series contains information on students' academic files. This may include copies of high school and college transcripts, advisement meeting notes, master time table, dean's list information, and other things relating to the student's academic standing. | WA+5 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Career Counseling | 020409 | This record series contains information about the career counseling of students. This is for academic or career counseling only. | 7ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Student Course Work | 020410 | This record series contains records of the exams, homework, papers, and projects completed by students that the instructor does not return to the student after grading or review. This includes, but is not limited to, internship summaries, term papers, quizzes, tests, and minor projects. | 1ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | General Credential or Co-op Files | 020411 | This record series contains information on the methods students use to market themselves to future employers. This may include resumes, unofficial transcripts, release forms, information cards, and online homework assignments for students registered at Career Services. Active ceases with graduation or last date of attendance. | WA+6 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | International Student Files | 020412 | This record series contains information on all international students. This may include I-20's and other immigration information. | WA+8 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Learning Center Client Files | 020413 | This record series contains information on individuals who come to the University Learning Center for assistance (tutoring, assessment tests, etc.). The file may include the ULC's Basic Information Form, session notes, and other material as it pertains to the individual's needs. Active ceases with graduation or last date of attendance. | WA+5 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | ROTC Cadet Files - DA 201 | 020414 | This record series contains information related to a cadet enrolled in the Army ROTC program. Documentation may include DoD Enlisted Documents, DA 597/597-3 ROTC contracts, SGLV 8286 (life insurance forms), Orders, DD 93, ROTC CC 137/136, Physical Fitness cards, Cadet Command Form 139-R, DA 3449-9 Medical Record containing DD 2005 (Privacy Act Statement), Report of Medical Examination, Report of Medical History, and any other pertinent information. Active ceases with graduation or disenrollment from the ROTC Program. | WA+4 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99); SSN is confidential per NDCC 44-04-28 |
| | Special Circumstances | 020415 | This record series contains information on decisions made by the Dean of Students on students' special circumstances cases. This may include withdrawals after deadlines, exceptions to the refund schedule, notes from personal meetings, medical documentation, legal information, and the final decision. | 7ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) and/or HIPAA Public Law 104-191; Legal value per NDCC 28-01-16 |

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|-----------------|-------------------------------------|------------------------|---|----------------------------|--------------------|--------------|---|
| | Student Teacher (Credential) File | 020416 | This series contains the evaluations of students who participated in student teaching. This may include teacher evaluations, certifications, and letters of reference. Active ceases with the last update to the file (update may include adding new letters of reference, adding unofficial transcripts, updating personal data, or having the file sent to a prospective employer or graduate school admissions committee). | WA+25 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Summary Reports | 020417 | This record series contains reports pertaining to the academic situations of students. This series may include Admission Status reports. | UD | Archive | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Theses and Dissertations | 020427 | This record series contains theses and dissertations done by students upon completion of their studies. While these are normally student records (as determined by USDE in 1995) the University receives copies. The Office of Record is the Library, with everyone else being a copy holder. The Office of Record Retention holder is Permanent with copy holder being held until no longer needed. | PERM | Retain | No | |
| | Transcripts | 020418 | This record series contains transcripts created by Continuing Education documenting the completion of professional development classes overseen by the Continuing Education Department. These are not for university credit. | PERM | Retain | No | |
| | Counseling Client Files | 020419 | This record series contains information on personal history, case notes, release information, intake assessments, and record of any contact that is made with the client. This does not include any academic counseling. | 7ACFY | Shred | Yes | FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Disability Files | 020420 | This record series contains student disability documentation. This may include requests for accommodation, correspondence, and notes from meetings with disabled students. | WA+3 | Shred | Yes | FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Fair Cards | 020502 | This record series contains information on students who have visited job or career fairs. | 1ACFY | Recycle | No | |
| | Visit Cards | 020503 | This record series contains information on prospective students that have visited the college/university. | CY+1 | Recycle | No | |
| | General Education Development (GED) | 020602 | This record series contains GED tests and scores for everyone who has taken it at the college/university. | CY+5 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Grade Report Forms | 020603 | This record series contains grade sheets used to record grades for each student taking courses for credit. | PERM | Retain | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Nelson Denny Reading Test | 020604 | This record series contains information on individuals who have taken the Nelson-Denny Reading Test. This may include the test material and version taken and the answer sheets completed by each individual. Active ceases with graduation or last date of attendance. | WA+1 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Standardized Academic Tests | 020605 | This record series contains information on people who have taken academic standardized tests. This includes test rosters, administrative paperwork, and the version taken. | CY+1 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Standardized Psychological Tests | 020606 | This record series contains information on the people who have taken standardized psychological tests. This includes test rosters, administrative paperwork, and the version taken. | CY+5 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |

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| | Test Roster | 020607 | This record series contains a listing of students and the tests they have taken, when, and what version. | CY+10 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | TOEFL Tests | 020608 | This record series contains tests of international students demonstrating their proficiency in English. If student enrolls in the university, move record to Admission Applications. | CY+3 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Transfer Evaluation and Test Scores | 020609 | This record series contains transfer evaluation memos and test scores including AP, CLEP, IB, DANTES score sheets for non- matriculated students (they become part of Academic Records for matriculated students). | 3ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Student Performance/Academic Standards Committees | 220314 | This record series contains minutes for the Student Performance and Recognition Committee and the Academic Standards Committee. These committees deal with student awards and grievances. Active ceases when issue has been resolved. | WA+6 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Honors/Awards | 260103 | This record series contains a historical record of any honors and/or awards given to students. | 3ACFY | Archive | No | |
| | Letters of Reference | 450107 | This record series contains letters of reference written for students at the college/university. | WA | Recycle | No | |
| | Immigration | 500201 | This record series contains temporary visa and permanent residence documents. Active ceases when no longer a full-time student. | WA+6 | Recycle | No | Legal value per 8 CFR 214.3 (g)(1) |
| | Student Guidelines and Policies | 650504 | This record series contains a record of established policies, procedures, and guidelines concerning students. Active ceases when the guidelines or policies have been superseded. The office of record normally is the originating department. | UD+3 | Archive | No | |
| | Career Service Employer Files | 800337 | This record series contains job descriptions, Equal Employment Opportunity statement, and correspondence with companies advertising or recruiting through Career Services. | UD+3 | Recycle | No | |
| | Conduct Violation Records | 800338 | This record series contains reports of student violations of the Code of Student Life. Records may include, but are not limited to, incident reports, housing violations on or off-campus, hearing documentation, if applicable, correspondence, and other supporting documentation used to deal with the violation. | WA+6 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99); Legal value per NDCC 28-01-16 |
| | Housing | 800339 | This record series contains information regarding student's on- campus housing. This may include applications for housing, refrigerator and loft contracts, linen and key forms, meal plan contracts, payment verification, and information on room's condition before and after occupancy. | CY+5 | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Veteran's Files | 800340 | This record series contains information on the students receiving military benefits through their attendance at the college/university. | WA+3 | Shred | Yes | FERPA (20 USC 1232g; 34 CFR Part 99) |
| | Wellness Center Participant Records | 800341 | This record series contains records regarding people utilizing the services of the Wellness Center. Records include, but are not limited to, new member form, liability waiver, and fitness evaluations. | 3ACFY | Shred | Yes | Confidential per FERPA (20 USC 1232g; 34 CFR Part 99); Legal value per NDCC 28-01-22.1 |
| TRIO | | | | | | | |
| | Equal Opportunity Center Participant Files | 020104 | This record series contains information on all the participants of the program. This may include intake forms, correspondence, notes from meetings, and test results. The office of record normally is TRIO. | WA+6 | Shred | No | |

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| | Upward Bound Participant Files | 020105 | This record series contains information on all participants of the program. This may include applications, health records, academic records, progress reports, evaluations, signed permission slips, activity slips and standardized tests. The office of record normally is TRIO. | WA+6 | Shred | No | |
| | McNair Participant Files | 020429 | This record series contains information on all participants of the program. This may include applications, selection criteria, acceptance, notice of appointments, salary, student reports, evaluations, questionnaires, and other relevant information. The office of record normally is TRIO. | WA+6 | Shred | No | |
| | Student Support Services Participant Files | 020430 | This record series contains information on all the participants of the program. This may include signatures and notes verifying student's qualification for the program, and academic records. The office of record normally is TRIO. | WA+6 | Shred | No | |
| | Upward Bound USDA Forms | 020431 | This record series contains information on the different students receiving Military benefits through their attendance at the university. The office of record normally is Registration and Records for NDSU. | WA+6 | Shred | No | |
| | | | NOTE 1: If you are retaining a copy of a record, you must dispose of the records prior to the timeframe identified in the Office of Record Retention column. | | | | |

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