



PROCEDURE FOR INSTITUTIONAL POLICY GA-11: RECORD RETENTION

1. PURPOSE

The purpose of this procedure is to implement Institutional Policy GA-11: Record Retention.

2. APPLICABILITY

- 2.1 This procedure applies to all record retention management practices in all administrative units across the institution.
2.2 WVSOM reserves the right to amend this procedure at any time, as necessary or appropriate.

3. GENERAL PROVISIONS

- 3.1 WVSOM will develop and maintain a Record Retention Schedule that sets forth how records should be handled after the period of their active use.
3.2 The Record Retention Schedule is set forth in the Appendix of this procedure.
3.3 The guidelines set forth in the Record Retention Schedule are subject to change in federal, state, or local law, or contractual obligations of the institution. In the event of a conflict between the Record Retention Schedule and federal, state, or local law, or contractual obligations of the institution, the more restrictive requirement should be followed.

Procedure Title: Procedure for Institutional Policy GA-11: Record Retention
Effective Date: February 24, 2021 Time: 12:01 a.m.
APPROVED BY:
Approving Administrator - Vice President for Administration and External Relations: [Signature] Date: 22 Feb 2021
Vice President for Legal & Governmental Affairs and General Counsel: [Signature] Date: 02-23-21

RECORD RETENTION SCHEDULE

Record	Description	Retention Period	Disposition	Authority
Student Advising and Counseling				
Academic Advisement Records		7 years from the date of a student’s matriculation	Confidential Destruction	Consistent with Institutional Policy ST 01-2.7 on retention of records on professionalism
Group Files/Test Results		7 years from the date of a student’s matriculation	Confidential Destruction	Consistent with Institutional Policy ST 01-2.7 on retention of records on professionalism
Pre-Professional Student Files	Evaluation and consultation of students for advancement into graduate professions	3 years after graduation or after leaving the program and enrolling elsewhere	Confidential Destruction	2005 ACA Code of Ethics, sec. B.6.g
Student History Files	History of counseling provided to specific students	7 years from the date of a student’s matriculation	Confidential Destruction	Consistent with Institutional Policy ST 01-2.7 on retention of records on professionalism
Tutor Applications		1 year after end of academic year		2005 ACA Code of Ethics, sec. B.6.g
ASPIRE Counseling Records	Confidential records maintained by ASPIRE	7 years after last visit	Confidential Destruction	
Academic Department				
Academic Action Notification	The notification of students about their academic probation, dismissal or other related actions, or status changes	Permanent	Retained by Dean's Office	
Academic Warning or Suspension	Notice of academic action related to academic non-performance/deficiency maintained by appropriate Associate Dean's office	7 years from the date of a student’s matriculation	Confidential Destruction	Consistent with Institutional Policy ST 01-2.7 on retention of records on professionalism
Academic Warning, Suspension or Dismissal	Notice of academic action related to academic non-performance/deficiency	Permanent	Retained by Dean's Office	
Academic Integrity Code Violations	Notice of violation of academic integrity policies including sanctions, if any	Permanent	Retained by Dean's Office	
Academic Records (miscellaneous)	Narrative evaluations, competency assessments, etc.	7 years from the date of a student’s matriculation	Confidential Destruction	Consistent with Institutional Policy ST 01-2.7 on retention of records on professionalism
Professionalism Records		7 years from the date of a student’s matriculation	Confidential Destruction	Institutional Policy ST 01-2.7 on retention of records on professionalism
Advanced Placement requests		1 Year After Graduation		
Class Lists	Record of class rosters for each term	Permanent	Retained by Registrar	
Grade Book	Records of students in course and work completed	Permanent	Retained by Registrar	
Commencement Programs		Permanent		
Correspondence (student)	Related to academic records, inquiries	1 Year	Confidential Destruction	
Course Evaluations		Permanent - maintained in eMedley		
Course Syllabi		Until superseded		
Course/Curricula Approval		Permanent		Curriculum Committee minutes
Faculty Course Assignments/Schedules		3 Years After End of Semester		
Grade Appeal Records		1 Year After End of Semester		
Nominations for Honors, Awards, Scholarships for Faculty and Students		5 years		
Student Evaluation of Professors		Permanent	Records maintained in eMedley, faculty annual self-studies and portfolios submitted for Promotion and Tenure	
Student Examination Files		7 years from the date of a student’s matriculation	Confidential Destruction	Consistent with Institutional Policy ST 01-2.7 on retention of records on professionalism
Exams	Exams (final)/graded coursework	7 years from the date of a student’s matriculation	Confidential Destruction	Consistent with Institutional Policy ST 01-2.7 on retention of records on professionalism

Student Records	Records related to student status, history, and grades within the academic department	7 years from the date of a student's matriculation	Confidential Destruction	Consistent with Institutional Policy ST 01-2.7 on retention of records on professionalism
Student GTA Record	Documentation of requests, selection, assignment, and monitoring of students participating in graduate teaching, work study, and other outside credit or field experience.	Permanent	Transfer to Student's Permanent Record	
College Catalog	The history of courses and classes available to students	Permanent		
Schedule of Classes	Classes offered each semester	Permanent		
Audit Authorization	Records related to requests to audit classes and approval/disapproval.	1 year after completed		
Course Enrollment Records	Enrollment in specific courses including course descriptions, course ID, faculty assigned, dates/times, and students enrolled	Permanent - maintained in eMedley		
Statistics	Records of reporting of various registration and enrollment data. May include admissions, registration, grading, degree, and student or alumni statistics.	Permanent		
Temporary Student Records - nonMatriculated Students	History of students admitted but never completing classes or students taking only audit or non-credit classes	1 year after completed		
Transfer Credit	Records of requests for transfer credit, the evaluation of transfers and the awarding of credits, if any.	Permanent		Admission and Student Promotions Committees minutes
Transfer Credit Evaluation		Permanent		Admission and Student Promotions Committees minutes
Student Immunization Record	Students immunization files maintained by Castle Branch (third party vendor) as electronic record	WVSOM personnel have access while student enrolled at WVSOM	WVSOM no longer allowed access once student graduates	

Admissions

Applications - Matriculating Students	Recommendations and supporting character or academic evaluations	Until admitted	Confidential Destruction	
Applications - Matriculating Students	Application and supporting documents	Permanent	Transfer to Student's Permanent Record	
Applications - Students not Matriculating	Application and supporting documents	1 Year after end of Academic Year	Confidential Destruction	
Interview Schedules		1 year	Confidential Destruction	
Residency Verification Records	Documents in support of verifying residency in state for tuition purposes	6 years after submission	Confidential Destruction	

Development, Advancement, Foundation, and Fundraising

Donations -Funds		5 years after final expenditure		
Donations - Items or Artifacts		5 years after disposal of item		
Fundraising - Annual Accounting		5 years		
Fundraising - Literature & Promotion Material		Permanent	Transfer to archives	
Fundraising - Planning and Reporting		20 Years		
Loans	Property, equipment, or funds for development, advancement, or foundation purposes & the repayment/return history	2 years after repayment of loan		
Prospect Files		5 years		
Trust/Endowment - Accounting		5 years after end of fiscal year		
Trust/Endowment - Agreement & Trustee Records		5 years after end of trust/endowment		

Financial Aid

Program Records	any application for FSA funds and program records that document— <ul style="list-style-type: none"> • the school’s eligibility to participate in the FSA programs, • the FSA eligibility of the school’s programs of education, • the school’s administration of the FSA programs, • the school’s financial responsibility, • information included in any application for FSA program funds, and • the school’s disbursement of FSA program funds. 	Permanent in BDMS	34 CFR 668.24
Fiscal records	financial records that reflect each FSA program transaction, and general ledger control accounts and related subsidiary accounts that identify each FSA program transaction and separate those transactions from all other school financial activity	Permanent in BDMS	34 CFR 668.24
Records for FSA recipients	records for each FSA recipient that include but are not limited to— <ul style="list-style-type: none"> • The Student Aid Report (SAR) or Institutional Student Information Record (ISIR) used to determine a student’s eligibility for FSA program funds, • Application data submitted to the Department, lender, or guaranty agency by the school on behalf of the student or parent, • Documentation of each student’s or parent borrower’s eligibility for FSA program funds (e.g., records that demonstrate that the student has a high school diploma, GED, or the ability to benefit), • Documentation relating to each student’s or parent borrower’s receipt of FSA program funds, Documentation of and information collected at any initial or exit loan counseling required by applicable program regulations, • Reports and forms used by the school in its participation in an FSA program, and any records needed to verify data that appear in those reports and forms, • Documentation supporting the school’s calculation of its completion or graduation rates, and transfer-out rates 	Permanent in BDMS	34 CFR 668.24
Pell and EACH grants, Campus-Based Program records		Permanent in BDMS	34 CFR 668.24
Direct Loans and FFEL	Records related to borrower’s eligibility and participation All other records, including any other reports or forms	Permanent in BDMS	34 CFR 668.24

Information Technology

Computer System Maintenance Records	May include computer equipment inventories; hardware performance reports; component maintenance records (invoices, warranties, maintenance logs, correspondence, maintenance reports, and related records); system backup reports; and backup tape inventories.	a. For life of system or component for records related to system or component repair or service, destroy. b. Until superseded or obsolete for records related to regular or vital records backups, destroy	Destroy at end of retention period.
Computer System Program Documentation	Records document the addition, modification, or removal of software from an institutional, departmental or office computer system. Includes records that document operating systems; in-house creation and modification of application programs; structure and form of datasets; use of commercial software packages; structure of the system; and system-to-system communication. Records may include system overviews; operations logs; job listings; operator instruction manuals; system development logs; system specifications and changes including narrative and flow chart descriptions; conversion notes; dataset logs; dataset inventories; dataset record layouts; hard copies of tables; data dictionaries; data directories; programming logs; program specifications and changes; record layouts; user views; control program table documentation; program listings; and commercial software manuals	For the life of the system, destroy	Destroy at end of retention period.
Computer System Security Records	Records document the security of an institution, department, or office computer system. May include employee access requests, passwords, access authorizations, system access logs, encryption keys, Banner Request for Access Forms, and related documentation.	a) 3 years for system access logs, destroy; b) 3 years after superseded or obsolete for all other records, destroy.	Destroy at end of retention period.
Forms Development Records	Records document the development of new or revised forms within the institution and is used to provide a history of previous forms. Records may include sample forms; drafts; revisions; form logs/listing; proposals; authorizations; and illustrations.	Until superseded or obsolete, destroy	Destroy at end of retention period.
Information System Planning and Development	Records document the planning and development of WVSOM information systems. May include manual filing systems and microfilm systems. The records are used to insure that planned systems will help an agency fulfill its missions, are cost-effective, conform to adopted information standards, and integrate with existing agency information systems. May include: information technology plans; feasibility studies; cost-benefit analyses; studies and surveys; system specifications and revisions; component proposals; technical literature; vendor literature and proposals; and correspondence.	(a) For life of system for implemented systems, destroy; (b) 3 years for unimplemented systems, destroy.	Destroy at end of retention period.

Microfilm Quality Control Records	Records may include: microfilmed records lists; microfilm reel indexes; service bureau transmittals; film inspection reports; methylene blue certifications; Security Copy Depository transmittals; camera/processor/duplicator inspection reports; equipment and operator logs; and correspondence.	For the same retention period as related microfilm, destroy	Destroy at end of retention period.
Software Management Records	Records document the use of software in WVSOM information systems. The series is used to insure that university software packages are compatible, that license and copyright provisions are in compliance, and that upgrades are obtained in a timely manner. Records include software purchase records; software inventories; software licenses; site licenses; and correspondence.	Until software is disposed of or upgraded, destroy	Destroy at end of retention period.
Telecommunication System Management	Records document the creation, modification, and disposition of WVSOM telecommunications systems. Records include: equipment records; Federal Communications Commission records; repair order forms; system planning records; telecommunications maintenance contracts and service orders; and related correspondence.	For life of system, destroy	Destroy at end of retention period.

Human Resources

Personnel File - General Employment Information	Hiring documents including initial application documents, personnel action, documents pertaining to promotion/demotion/transfer, appointment notices of employee salary, performance evaluations for faculty and staff, faculty self-study documentation for annual evaluations, faculty promotion and tenure document, employee years of service information, disciplinary actions, etc.	5 years after last day of employment. For involuntary termination, if a charge of discrimination has been filed, keep until final disposition date.	CONFIDENTIAL DESTRUCTION	
Personnel File Database	Employment dates of hire, date of separation, title upon separation, faculty rank and tenure status upon separation	Permanently kept through ERP system	N/A	
Employee Medical Files	Kept separate from Personnel File. This includes Medical Leave, American's with Disabilities Act , Family Medical Leave Act, Catastrophic Leave, Unpaid Medical Leave, Parental Leave	3 years from date of leave or request, whichever is later	CONFIDENTIAL DESTRUCTION	29 C.F.R. §825.500
Personnel Records I-9 Eligibility Verifications	I-9 Eligibility Verifications	Must retain an I-9 for all employees hired after 1986. Upon separation, must retain for 3 years from date of hire OR one year after termination, whichever is longer.	CONFIDENTIAL DESTRUCTION	Pub.L. 99-603, 100 Stat. 3445
Workers' Compensation Records	employee incident reports of injury or exposure (i.e. Incident Report Form/Bloodborn Pathogen form)	30 years from date of incident	CONFIDENTIAL DESTRUCTION	29 C.F.R. §1910.1020
Personnel Records Pre-employment/applicant information	Advertisement information, Job application materials (resume, etc.), background check information, search committee notes/materials	3 years from completion of search	CONFIDENTIAL DESTRUCTION	ADA, Civil Rights Act of 1964, ADEA, WVSOM Affirmative Action Plan

Employee Grievance Files	Kept separate from Personnel File.	Decisions or final orders retained permanently, subject to W. Va. Code §6C-2-3, and all other files and documents retained for 7 years.	CONFIDENTIAL DESTRUCTION
Personnel Records Medical Monitoring or Surveillance documentation	Medical Monitoring or Surveillance documentation	Duration of employment plus 30 years.	CONFIDENTIAL DESTRUCTION
Personnel Records OSHA injury and illness Log	OSHA injury and illness Log	5 years	CONFIDENTIAL DESTRUCTION
Student employment records	All records relating to student employment, internships, and evaluations	3 years from date of last employment.	CONFIDENTIAL DESTRUCTION 29 C.F.R. § 519.7(c)
Student records	Reports of incident or exposure - sharps, incident reports, bloodborne pathogen exposure	30 years from date of incident.	CONFIDENTIAL DESTRUCTION 29 C.F.R. §1910.1020
Safety Records	OSHA Training records required for safety training	Duration of training plus 5 years	

Legal Department

Administrative Procedures		Permanent	Housed in Legal
Board of Governors Policies		Permanent	Housed in Legal
Bond Records		Permanent	Housed in Legal
Clery Act Records		7 years	CONFIDENTIAL DESTRUCTION: 20 U.S.C. §1092(f) Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration.
Deeds/Property Records		Permanent	Housed in Legal
Employee Grievance Records		2 years	CONFIDENTIAL DESTRUCTION: W.Va. Code §6C-2-3 Records in this series containing confidential information should be destroyed by pulping, shredding, or incineration.
Leases/Licenses		10 years	
Litigation Files		2 years	
Presidential Search Records		Permanent	Housed in Legal
Trademark/Patent/Copyright Records		Permanent	Housed in Legal

Libraries, Archives, and Other Collections Records

Borrowers Registration Records	Records used to grant citizens library cards and privileges Individual borrower information may include but is not limited to name, address, telephone number, date of birth, signature, expiration date, identification number and related data.	1 year	Confidential Destruction	W.Va. Code §10-1-22
Circulation Records	Records document the borrowing of circulating library materials by qualified patrons. This series may include but is not limited to the name and identification of the borrower; the titles of materials borrowed; the due date; overdue and fine payment notations; and related documentation and correspondence.	Until the transaction is completed, destroy	Confidential Destruction	W.Va. Code §10-1-22

Interlibrary Loan Records	Records document requests made of the institution for materials from outside sources and also institution requests for materials from other institutions. This series may include but is not limited to materials request forms; invoices for services provided; and related documentation.	3 years, destroy	Destroy at end of retention period	W.Va. Code §10-1-22
Serials Records	Records document the receipt and payment history for serials purchased by the libraries. This series may include but is not limited to periodical check-in cards; shelf list cards; payment cards; serials data input work form sheets; data base reports; item records; and related documentation	Permanent	Housed in the Library	W.Va. Code §10-1-22

Registrar

All guidelines in this category are based in part on AACRAO's Guide for Retention and Disposal of Student Records (2013)

Applications for Degree or Graduation		5 years after graduation or non-attendance	Confidential Destruction
Change of Status Requests	Requests for changes to academic status and actions taken in response.	Permanent	
Leave of Absence		Permanent	
Disclosure of Information	Requests for Information	Permanent	
Disclosure of Information	Student Directory Exemptions	Permanent	
Diplomas (Returned)		5 Years	Confidential Destruction
Enrollment Verification - External	Receipt of requests for verification of enrollment from outside sources and the actions taken in response.	3 years after verification	
Enrollment Verification - Internal	Records of enrollment verifications to students/parents or other college or university offices.	1 year after verification	
Enrollment Verifications	Verifications of enrollment, graduation, GPA and other related academics	1 year after verification	Confidential Destruction
Grade Change Request/Report		Until record adjusted	
Grade Change Forms	Records of authorization to change grade	5 years after graduation or non-attendance	Confidential Destruction
Grade Reports		Until transferred to student record	
Holds or Encumbrances	Receipt of notice of unpaid accounts or other violations that would require grades, transcripts, graduation, or other services be withheld	Until hold released	
Name Change Authorizations		5 years after graduation or non-attendance	Confidential Destruction
Permanent Student Record	Historical documentation of a student's academic life at WVSOM. Includes permanent record card (including admission data, courses taken, grades, degrees and awards) and other data necessary to prepare transcripts or verify attendance.	Permanent	
Personal Data Form	Records created for quick reference for each student, which would normally contain personal information, academic status, financial eligibility, and programs selected.	As long as administratively valuable	
Personal Data Form	Change of address, race/ethnicity questionnaires, other demographic data	1 year after graduation or non-attendance	Confidential Destruction

Registration/Enrollment Forms	Receipt of student registration/enrollment in courses and acceptance or denial in courses.	1 year after end of semester	
Residency Status Documents	Receipt of verification of West Virginia residency.	3 years after graduation or last attendance	34 C.F.R. §668.24
Temporary Student Records - Matriculated Students	Records of the academic history of a student at college or university. Includes those parts of the student academic record not selected for permanent retention in accordance with college or university policy	Permanent	
Transcript Requests	Students or Parents	1 year after completed	
Transcript Requests	Third Parties	1 year after completed	
VA Records	Records of interaction between the college or university and the VA related to tuition and other VA assistance for students	Permanent	
Withdrawal authorizations	Receipt of requests to withdraw from the college or university and any related reimbursement requests and actions taken in response	Permanent	
Academic Suspension or Dismissal	Notice of academic action related to academic non-performance/deficiency	Permanent	

Student Affairs and Services

Hearing Records	Records of hearings on student disciplinary matters by college or university staff. Includes charges, findings, and recommendations	7 years from the date of a student's matriculation	Confidential Destruction	Institutional Policy ST 01-2.7 on retention of records on professionalism
Judicial/Disciplinary Records		7 years from the date of a student's matriculation	Confidential Destruction	Institutional Policy ST 01-2.7 on retention of records on professionalism
Disciplinary Action Records	notice of sanctions related to personal conduct	7 years from the date of a student's matriculation	Confidential Destruction	Institutional Policy ST 01-2.7
Probation Records		7 years from the date of a student's matriculation	Confidential Destruction	Institutional Policy ST 01-2.7
Student Complaints/Grievances	Various course/exam related issues. Not grade or FERPA disputes	7 years from the date of a student's matriculation	Confidential Destruction	Institutional Policy ST 01-2.7 on retention of records on professionalism
Student Hearings		7 years from the date of a student's matriculation	Confidential Destruction	Institutional Policy ST 01-2.7
Student Organizations	Records related to the management and control of student organizations approved or authorized by the college or university. Includes organizational reports required by the college or university and any records donated by the student organization.	5 yrs after terminated		
Student Publications		Permanent		

Business Affairs

Payroll Records	Employee's rate of pay, hours of employment, payroll deductions, amount paid and time sheets for each pay period	Electronically kept as a permanent record in each individual employee file - Paper files are kept as long as the employee is active.	CONFIDENTIAL DESTRUCTION	W.Va. Code §21-5C-5
Payroll Records	ACA - Health and Basic Life Insurance documentation	Electronically kept as a permanent record in each individual employee file - Paper files are kept as long as the employee is active.	CONFIDENTIAL DESTRUCTION	

Payroll Records	Benefits Administration and Benefits Billing documentation including invoices, payments, cancellations, divorce audit database and documentation, etc.	Electronically kept as a permanent record (BAS).	N/A	
Payroll Records	PEIA Monthly folders, invoices, reports, and other records	Electronically kept as a permanent record - Paper files are destroyed at the end of each quarter.	CONFIDENTIAL DESTRUCTION	
Payroll Records	TIAA Retirement	Electronically kept as a permanent record.	N/A	
Payroll Records	Deduction forms and miscellaneous receipts and reports	Electronically kept as a permanent record in each individual employee file - Paper files are kept as long as the employee is active.	CONFIDENTIAL DESTRUCTION	
Payroll Records	IRS Wage attachments released, state tax forms, state wage attachments released.	Electronically kept as a permanent record in each individual employee file - Paper files are kept as long as the employee is active.	CONFIDENTIAL DESTRUCTION	
Payroll Records	Payroll registers edits	Electronically kept as a permanent record.	N/A	
Payroll Records	Employment verifications and payroll folders (verification for bank loans/employment verifications, etc.)	Electronically kept as a permanent record in each individual employee file - Paper files are kept as long as the employee is active.	CONFIDENTIAL DESTRUCTION	
Payroll Records	Federal tax forms: W-2, W-3, W-2c, and Form 941 and 941x	Electronically kept as a permanent record.	N/A	
Payroll Records	Federal tax form W-4	Electronically kept as a permanent record in each individual employee file - Paper files are kept as long as the employee is active.	CONFIDENTIAL DESTRUCTION	
Payroll Records	All other tax forms other than those specifically documented	Electronically kept as a permanent record in each individual employee file - Paper files are kept as long as the employee is active.	CONFIDENTIAL DESTRUCTION	
Journal Entries	Entries to Banner for expense/revenue internal	Scanned into BDMS	Shredded after verifying BDMS entry	
Year-end/financials preparation	Documentation/Journal entries to create financials	Scanned into BDMS	Q drive as quick access	
Accounting Records	Financial accountability records of funds during a contract or grant period	3 Years from the date the final expenditure report is filed		2 C.F.R. §200.334
Grant Agreements	Any signed agreement or contract	3 Years from the date the final expenditure report is filed		2 C.F.R. §200.334
Final Financial Reports	Records reflecting the completion and final financial reporting of contracts or grants.	3 Years from the date the final expenditure report is filed		2 C.F.R. §200.334
Records for Fixed Assets	Any fixed assets aquired with Federal Funds	3 Years after final disposition		2 C.F.R. §200.334
Cleared checks	Cashier's office: Image of cleared checks from outside bank accounts returned by bank	7 years	Deleted from BDMS	OBA Retention Guidelines
Pcard records	Pcard records	Permanent in OASIS		OBA Retention Guidelines
Pcard records	Original Pcard records kept in pcard holders office	2 years	Confidential destruction	State Pcard Division rule of post-audit
Original invoices	Kept in AP office	1 month after monthly reconciliation	Confidential destruction	OBA Retention Guidelines

Procurement - Bid Documentation	Bid requisition/authorizations, invitation to bid, bid specifications and evaluations	Fiscal Year End + 3 years After closed, terminated, completed, expired, settled or last date of contact + 1 year	Destroy
Procurement - Estimate Files	Supply and repair cost estimates	After closed, terminated, completed, expired, settled or last date of contact + 3 years	
Procurement - Material Specifications		After closed, terminated, completed, expired, settled or last date of contact + 1 year	
Procurement - Order - Acknowledgements		After closed, terminated, completed, expired, settled or last date of contact + 1 year	
Procurement - Packing Slips		After closed, terminated, completed, expired, settled or last date of contact + 1 year	
Procurement - Performance Bonds	Bonds posted by individuals or entities under contract with the agency	Permanent	
Procurement - Purchasing Logs	Logs, etc. providing a record of purchase orders issued, orders received, etc.	Fiscal Year End + 3 years	
Purchase Orders	Scan, destroy hard copy-retain electronic record until after closed, terminated, completed, expired, settled or last date of contact + 3 years then remove electronic copy	After closed, terminated, completed, expired, settled or last date of contact + 3 years	
P-Card Purchases	See P-Card Procedure for Record Management requirements		

Research

Accounting Records	Financial accountability records of funds during a contract or grant period	3 years	2 C.F.R. §200.334
Contract or Grant Administration		3 years after end of research or in accordance to grant	2 C.F.R. §200.334
Final Reports	Records reflecting the completion and final reporting of research contracts or grants.	3 years after end of research or in accordance to grant	2 C.F.R. §200.334
Notes, Work Papers and Technical Data - College Sponsor	Records containing the actual research conducted by a college or university employee. Includes, but is not limited to, notes, notebooks, drawings, work papers, technical data, experimental results, statistics, findings, and conclusions	3 years after end of research or in accordance to grant	2 C.F.R. §200.334
Notes, Work Papers and Technical Data - Contract or Grant Sponsored	Records reflecting the actual research conducted by a college or university employee. Includes, but is not limited to, notes, notebooks, drawings, work papers, technical data, experimental results, statistics, findings, and conclusions.	5 years after end of research or in accordance to grant	2 C.F.R. §200.334
Export control transactions	Any TAR exemption records we would have (paper copies currently)	5 years from the latest of...As in WVSOM Policy R-07	ITAR Section 123.22 and EAR section 762.6
IRB records	IRB protocol, protocol review, adverse events, closures, etc. All electronic. Also includes minutes of committee meetings	3 years after completion of the research	45 CFR 46.115(b)
IACUC records	IACUC protocol, protocol review, adverse events, closures, etc. Currently paper, though transitioning to electronic. Also includes minutes of committee meetings, annual reports, program reviews, communications with IO	3 years after completion of the activity	PHS and OLAW requirements (9 CFR Chapter 1, subsection A) Medical monitoring required
IBC records	IBC protocol, protocol review etc. Currently paper, transitioning to electronic. Also includes minutes of committee meetings.	3 years after closure of the project	NIH Guidelines

Conflict of interest	Includes some paper disclosures (annual) and some electronic disclosures through IT system. Would also include any committee minutes and/investigations/findings.	3 years after receipt of disclosure or 3 years close of project	45 CFR 74...& PHS policy
Research misconduct	Would include any committee minutes and/investigations/findings. Paper (though scanned into computer, plus annual filing through ORI)	7 years after initial report	42 CFR 93.317
Blood borne pathogens training	Records of annual training through CITI (electronic) and also in compliance database (date training expires)	3 years	29 CFR 1910.1030
Chemical hygiene plan	Annual inventories, training records, currently all paper		29 CFR 1910.1450
Infectious medical waste	Manifests of pickup of regulated medical waste, Log of autoclave treatment, record of spore tests of autoclave, annual reports, and any other "pertinent records required by this rule"	3 years (though lengthened if unresolved enforcement action as requested by secretary)	WV 64 CSR 56
Radiation machine registration	Registration info of machine, records regarding exposure(s), receipt, transfer and disposal	Registration-3 years after made; 5 years after termination/resignation/retirement for employee dose records; 3 years for calibration records; exposure records are indefinite or pursuant to 6.6e; receipt, produced, transferred, disposed records for 5 years after final disposition;	WC 64 CSR 23.(6.41 mostly)