

# *Policies and Procedures*

<i>SECTION:</i> <b>Administration</b>	<i>NO.</i> <b>2.1.22.</b>		
<i>CHAPTER:</i> <b>General</b>	<i>ISSUED:</i> 6/30/09	<i>REV. A</i>	<i>REV. B</i>
<i>POLICY:</i> <b>Document Retention and Destruction</b>	<i>PAGE 1 OF 2</i>		

## **PURPOSE**

The purpose of this policy is to establish a University-wide guideline and process for the retention and destruction of University records.

## **SCOPE**

This policy applies to all Creighton University records, except as otherwise noted in this section. This policy does not apply to records that are protected under the Health Insurance Portability and Accountability Act (HIPAA) or records maintained for federal research/compliance/grants administration purposes. Please see Policy 2.4.44. "Documentation Policy" and Policy 2.4.27. "Media Disposal and Re-Use" for records that are protected under HIPAA and see: <http://www.creighton.edu/researchcompliance/compliancepolicies/index.php> for Retention of University Research and Compliance Records. This policy does not apply to records of students as maintained by those departments listed in the Student Records Policy, which can be found at: <http://www.creighton.edu/registrar/confidentialityprivacyferpa/index.php>. The departments listed in the Student Records Policy are responsible for adopting their own guidelines as to retaining student records for which they have oversight.

## **POLICY STATEMENT**

1. Creighton University is committed to managing University records in order to meet legal requirements, optimize use of space, minimize cost, and destroy outdated and unnecessary records. This Policy identifies certain records that must be retained for specific periods of time (see Attachment A). In addition, various departments and divisions throughout the University have developed, or are in the process of developing, record retention practices that are tailored to their specific functions.
2. A University record is any information which is created in the course of conducting University business. University records can be created and/or maintained in electronic or paper formats or as audiovisual materials.
3. As a general rule, and in the absence of any law or regulation requiring a specific retention period, University records should be retained for the period they are needed for business or academic reasons.
4. If the University is being investigated, prosecuted, sued or audited, or any person has reason to believe any University records will be requested by any federal, state or local government agency, **then the person/department that becomes aware of such an investigation or prosecution shall immediately inform the Controller's Office and the Office of General Counsel**, and the following Preservation Notice procedures shall apply:

Creighton University has a legal obligation to preserve evidence and records, including electronically stored information, which might be relevant in any pending or potential claim or action, such as a government audit, administrative proceeding or lawsuit. When Creighton receives notice of a pending claim or litigation, the General Counsel's office will send a preservation notice to potentially affected departments, as well as to the Division of Information Technology. Upon receipt of that notice, all records

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(paper and electronic) must be preserved. Any such preservation notice supersedes any other section of this Policy and any departmental or division document retention policy. No documents that are under a Preservation Notice may be destroyed, even if they are otherwise scheduled for destruction under this Policy or under a department policy.

## **ROLES AND RESPONSIBILITIES**

1. The Controller's Office is responsible for oversight of this Policy. The Office of the General Counsel, in conjunction with the Department of Information Technology, is responsible for oversight of the Preservation Notice process.
2. Department or division record retention policies should address: what to save; who will save it; where to save it; how long to save it and how to destroy it. Individual departments and divisions are responsible for managing records they maintain consistent with this policy. Departments and divisions should review and update their document retention policies periodically. Questions regarding this policy shall be directed to the Controller's Office.

## **DISPOSAL PROCEDURES**

1. If there is a prescribed retention period for a University record, and the retention period has expired, the University record should be properly disposed, so long as there is no Preservation Notice in effect. If there is no prescribed retention period and the University record is no longer needed for any business or academic reason, the University record may be disposed of, so long as there is no Preservation Notice in effect.
2. Confidential, sensitive or financial records must be shredded (if paper). Electronic documents and hard drives must be destroyed in accordance with procedures adopted by the Department of Information Technology. For questions regarding disposal of electronic information, please consult the Division of Information Technology for proper disposal methods.

## **AMENDMENTS AND TERMINATION OF THIS POLICY**

The University reserves the right to modify, amend or terminate this policy at any time.

**Resources**

**Attachment A**

The following table provides the minimum requirements.

<b>Type of Document</b>	<b>Minimum Requirement</b>
Accounts payable ledgers and schedules	7 years
Audit reports	Permanently
Bank reconciliations	2 years
Bank statements	3 years
Checks	7 years
Contracts	Permanently
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Deeds, mortgages, and bills of sale	Permanently
Duplicate deposit slips	7 years
Employment records	3 years
Year-end financial statements	Permanently
Internal audit reports	10 years
Inventories of products, materials, and supplies	7 years
Invoices (to customers, from vendors)	7 years
Minute books, bylaws and charter	Permanently
Payroll records and summaries	7 years
Retirement and pension records	Permanently
Tax returns and worksheets	Permanently
Timesheets	3 years
Withholding tax statements	7 years