

Simmons University Records Retention Policy Statement

Simmons University is committed to meeting its administrative, fiscal, legal, and historical obligations through the systematic and consistent management of all records, regardless of medium or format, created and/or maintained by employees of Simmons University in the course of the University's academic and administrative business functions.

The effective management of the University's records will

- meet legal standards for protection, storage, accessibility, and disposition;
- protect the privacy of students, faculty, and staff as required by law;
- ensure optimal and efficient usage of space and other resources;
- promote a culture of clarity and transparency;
- contribute to the documentation of the University's historical records; and
- support the effective governance and management of the University.

This records management policy is designed to ensure compliance with applicable federal and state laws and regulations as well as industry best practices.

Scope

This policy applies to University records and information resources in all formats including—but not limited to—paper records, electronic records, and information management system data.

This policy applies to all faculty, staff, administrators, and other employees of Simmons University who manage University information resources.

Authority & Responsibilities

The President and senior administrators of the University are responsible for communicating this policy to University employees and have general oversight of this policy.

The University Archives is responsible for developing and administering a records management program for the University, and will assist employees in understanding and implementing that program.

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The University Archives has the authority and responsibility to determine the appropriate disposition for University records in consultation with necessary faculty, staff, and administrators. The University Archives has the authority and responsibility to articulate these disposition decisions in records retention schedules.

All employees of Simmons University are responsible for managing and maintaining the records they create and administer in compliance with both this policy and the record management program developed by the University.

Definitions

Record: Information reflecting University academic and business transactions as well as related activities. Records may exist in any format (paper, electronic, information management system (i.e. Datatel) data, photographic, recordings, etc.). Records are created, received, used, and/or maintained in the course of typical University business operations and may hold operational, legal, fiscal, vital and/or historical value.

Critical / Vital Records: Records determined to contain information essential for the operational continuity of Simmons University following a catastrophic event. The University Archives will work with senior staff and administration at Simmons University to identify vital records and to develop procedures to ensure their accessibility after such an event.

Permanent / Archival Records: Records which are determined to contain historical, administrative, and/or research value to the University and which the University maintains indefinitely. The University Archives is responsible for the identification and transfer of these records, provides for their secure long-term storage, and ensures their accessibility in accordance with established Archives Access Policies.

Active Records: Records that are referred to regularly and/or are needed to support current or ongoing business activities of a department or office. Unless these records have been defined as permanent or archival, they should be destroyed in accordance with the University Records Retention Schedule.

Inactive Records: Records that have not been referenced for at least one year or for which the designated active period has passed. Unless these records have been defined as permanent or archival, they should be destroyed in accordance with the University Records Retention Schedule. If needed, inactive records may be placed in storage with the University Archives until the end of their defined retention period.

Record Copy / Official Copy: The single official copy of a document maintained by an administrative unit. The record copy is usually, but not always, the original and may

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be held by either the creating office or another office of record. Record Copies are identified in the University Record Retention Schedules, and must be maintained in accordance with existing Record Retention Schedules.

Unofficial Copies: Duplicate copy of an official record created for ease of access and use. Also called “convenience copy” or “working copy,” these materials may be destroyed when no longer needed by the office that holds them.

Non-Records: These informational materials possess a solely operational value for the office which holds them, and should not be maintained by that office after their active use has ceased. Such items may be destroyed at any time when no longer needed by the office that holds them. Examples include:

- all duplicate/convenience copies of “Official Records”
- information (whether produced by Simmons University or not) used for reference purposes only
- notes or working drafts of a completed project (unless they provide more complete information than the final report)

Retention Period: Minimum length of time for which a University office or department is responsible for maintaining records. Retention periods are determined through consultation with state and federal law as well as industry best practices. They must be adhered to by all University employees in the course of their general business activities.

Retention Schedule: An internal document describing categories of records, stating their retention period, and providing instructions for their disposition. The General Records Schedule for Simmons University lists the most common records at the University and provides retention and disposition guidelines.

Disposition of Records: The terminal treatment of records, either through destruction or permanent storage with the University Archives.

Procedures and Guidelines

Records Creation

All University departments and offices must create records that accurately document their core activities and functions.

Records Storage

All University departments and offices must maintain their records in a safe, stable, and

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secure manner that supports their timely and accurate retrieval and applies appropriate controls on their accessibility. To do this departments and offices should:

- Develop consistent and accurate filing, classification, and/or indexing systems for records—both paper and electronic—that all employees understand and follow. Such systems must enable the efficient finding of appropriate records and need not be complex.
- Store their records in secure and stable environments, including electronic records storage on stable media and in accessible software formats.
- Determine the confidentiality and privacy status of all records and ensure that security measures are appropriate to meet the needs of the records.
- Document their records organization system, storage locations, and security procedures in existing policies and procedures.

Records Disposition and Destruction

All departments and offices must know what they need to do with their University records once the records are no longer in active use. Typical disposition of records include:

- confidential destruction;
- transfer to the University Archives for permanent retention;
- transfer to the University Archives Records Management program for short-term storage (in the case of records with a designated retention period, but which are not accessed regularly in on-site offices)

To determine and undertake the appropriate disposition of their records in compliance with the Simmons University Records Policy, departments and offices should:

- Consult the University's records retention schedules to determine the disposition of their records.
- Contact the University Archives (archives@simmons.edu) for assistance in interpreting the records schedules or developing or modifying schedules as needed.

Litigation Hold for University Records

Departments and offices must ensure that they do not destroy University records that are currently part of—or are likely to be part of—any legal action, proceeding, litigation, audit, investigation, or review, even if the records retention schedules or other policies or procedures indicate that the records are eligible for destruction. For more information, contact the Office of General Counsel at:

gretchen.goggelralston@simmons.edu.

Electronic Records, E-mail, Web Records, and Datatel Information

Records created, managed, and stored in electronic format constitute the majority of information at Simmons University. Electronic records should be maintained in a logical and easily understandable fashion using a folder structure that mirrors the filing of a department's paper records and aligns with the organization of such a department.

Active electronic records of departmental business should be accessible by all staff department members who may be required to access such information. No departmental work should be stored on individual's hard drives or personal cloud computing accounts.

As with paper records, electronic records of a significant or historical nature such as those that document decision-making, correspondence, final drafts of reports, faculty meeting minutes, etc. should be transferred to the University Archives for permanent electronic storage.

General Records Retention Schedule

The Simmons University General Records Retention Schedule provides policy statements on the ownership, retention, and disposition of University records, identifying:

- which office or department holds the official copy of records;
- how long such records are to be kept; and
- the ultimate disposition of these records.

This General Records Schedule covers records common to most or several departments and offices at Simmons University. The Records Schedule may be supplemented by department or office-specific records policies as needed.

Translating the schedules into recordkeeping practice may not always be simple. For questions about interpreting or implementing the schedules or creating a department-specific records policy, please contact the University Archives at x2440 or archives@simmons.edu.

Records Types

The Simmons University General Records Schedule is organized by functional type of record. Not all offices will produce official copies of records in all types. Many instances of “convenience copies” are noted within the Schedule, but such information is neither exhaustive nor comprehensive.

- **Financial Records:** Investment, budget, and accounting records.
- **Student Records:** Graduate and undergraduate matriculated and non-matriculated student records.
- **Employment Records:** Personnel, benefits, and payroll records for all employees; includes Faculty Tenure and Promotion records.
- **Academic Program Records:** Records that document teaching and learning, such as course schedules and descriptions, syllabi, reading lists, and courseware objects.
- **Administrative Records:** Includes reports, correspondence, operational records for all offices, departments, units, committees, and working groups, including senior administration.
- **Research Records:** Funded and unfunded grant records and grant and contract accounting records.

- **Advancement Records:** Gift and estate records.
- **Operations Records:** Records concerning building and grounds construction and maintenance.
- **Legal Records:** Contracts and litigation records.
- **Marketing and Publicity Records:** Includes photographs, publications, and consent forms.

Financial Records

Accounts Payable Records

These records document a department or office's expenditures and purchases. These records may include, but are not limited to, departmental purchase orders and requisitions, credit card charge slips and statements, contract release orders, balance sheets, petty cash records, bills, invoice vouchers, invoices, journal vouchers, price quotes, justifications of purchases, payment authorizations, reports of receipt of goods or services, checks, receipts, travel expense reports, and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division: Accounts Payable	7 Years	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	2 Years	Confidential Destruction

Accounts Receivable Records

These records are used by departments and offices to document billing and collection activities. These records may include, but are not limited to, account edit sheets, VISA/Mastercard payment forms, invoices; journal vouchers; checks; receipts; and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division: Accounts Receivable	7 Years	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	2 Years	Confidential Destruction

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Banking Records

These records document banking transactions and may include deposits, reconciliations, statements, and registers.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division: Banking	7 Years	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	2 Years	Confidential Destruction

Budget Records

These records document departmental fiscal activity presented in summary form which may be used for budget planning. These records may include, but are not limited to, working papers, memorandums, final summary reports and spreadsheets, and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division: Banking	7 Years	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	Final Summary Reports: Permanent All other records: As needed	Final Summary Reports: Transfer to University Archives All other records: Confidential Destruction

Financial Statements and Reports

These records include annual certified and uncertified financial statements and reports.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division	Permanent	Transfer to University Archives
Unofficial Copy	All Other Departments/ Offices	As needed	Confidential Destruction

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Investment Records

These records include bonds, futures, stock, and all other investments.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division	<i>Annual Fund Manager Reports:</i> Permanent <i>Monthly Fund Manager Reports:</i> 1 Year <i>All Other Records:</i> Life of Investment + 5 Years	<i>Annual Fund Manager Reports:</i> Transfer to University Archives <i>Monthly Fund Manager Reports:</i> Confidential Destruction <i>All Other Records:</i> Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Tax Records

These records include all tax filings and returns.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division	7 Years	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Audit Reports

These records include the reviews, findings, and recommendations of internal and external auditors.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division	Permanent	Transfer to University Archives
Unofficial Copy	N/A	N/A	N/A

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Debt Financing

These records document the financing, scheduling, and repaying of University debt.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division	20 Years following date of final repayment	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Warranty Records

These records include warranty information and purchase orders with contractual terms.

	Record Holder	Retention Period	Disposition
Official Copy	Finance Division	7 Years after date of purchase or 7 Years following end of warranty period, whichever is longer	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Gifts Records

These records document potential or received gifts to the University by persons, organizations, or corporate bodies, including endowed scholarship funds and programs and faculty chairs. These records may include letters and agreements of gifts; copies of bequest instruments and wills from individuals or estates; financial statements and reports, including records of fund disbursements; and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Advancement / Office of Finance*	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

* Note: The Office of Finance is the single record holder of financial statements received from investment managers and custodians/custodial banks.

Student Records

Matriculated Undergraduate Student Records

These records document the academic progress of matriculated undergraduate students. This series may include but is not limited to Simmons academic transcripts; high school and other college transcripts; applications; notices of admission, readmission, denial and acceptance; grade reports; records of grade changes; reservation of credit requests; petitions for exemption from University regulations and procedures; applications for withdrawal from the University forms; and advanced standing reports.

	Record Holder	Retention Period	Disposition
Official Copy	Office of the Registrar	<i>Final Transcript:</i> Permanent <i>All Other Materials:</i> 5 Years from Date of Graduation or Last Attendance	<i>Final Transcript:</i> Transfer to University Archives <i>All Other Materials:</i> Confidential Destruction
Unofficial Copy	Academic Departments, all other Academic and Student Life Program Offices	5 Years from Date of Graduation or Last Attendance	Confidential Destruction

Non-Matriculated Undergraduate Student Records

These records document undergraduate students who have been denied entry into degree or certificate programs or who have been admitted but have not enrolled. These records may include but are not limited to admission applications; academic transcripts from other institutions; test scores; letters of admittance; and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Undergraduate Admissions	3 Years	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Matriculated Graduate Student Records

These records document the academic progress of matriculated graduate students. This series may include but is not limited to Simmons academic transcripts; non-Simmons transcripts; applications; notices of admission, readmission, denial and acceptance; grade reports; records of grade changes; reservation of credit requests; petitions for exemption from University regulations and procedures; applications for withdrawal from the University forms; advanced standing reports; and test scores.

	Record Holder	Retention Period	Disposition
Official Copy	Academic Program / Office of the Registrar	<i>Final Transcript:</i> Permanent <i>All Other Materials:</i> Determined by School or Program	<i>Final Transcript:</i> Transfer to University Archives <i>All Other Materials:</i> Determined by School or Program
Unofficial Copy	All other Academic and Student Life Program Offices	5 Years from Date of Graduation or Last Attendance	Confidential Destruction

Non-Matriculated Graduate Student Records

These records document undergraduate students who have been denied entry into degree or certificate programs or who have been admitted but have not enrolled. These records may include but are not limited to admission applications; academic transcripts from other institutions; test scores; letters of admittance; and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Admissions Office of School	3 Years	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

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Student Records, Financial Aid

These records show evidence of the providing and receipt of financial aid, including applications, federal aid forms, tax forms, award letters and confirmations, verification records, scholarships, fellowships, and awards.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Financial Aid	7 Years from Graduation or Date of Last Attendance	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Student Records, Health Center

These records include medical and mental health histories, clinical notes, immunization records, and related materials.

	Record Holder	Retention Period	Disposition
Official Copy	Health Center	10 Years from Date of Last Treatment	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Student Records, Residence Life & Student Activities

These records may document residence campus room assignment, disciplinary notes, participation in student activities and athletics, and related materials.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Student Life	5 Years from Graduation or Date of Last Attendance	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	While Active	Confidential Destruction

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Student Records, Advising

These records document student advising and may include academic program scheduling and advisor's notes.

	Record Holder	Retention Period	Disposition
Official Copy	Faculty advisor / Academic Department	5 Years from Graduation or Date of Last Attendance	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Employment Records

Employee Personnel Records

These records may include, but are not limited to, job descriptions, correspondence, performance evaluations, I-9 Tax Forms and copies of identification documents, and other personnel forms.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	7 Years from Date of Employee Separation	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	Date of Employee Separation	Confidential Destruction

Staff Employment Search Records

These records document the process to fill non-faculty positions. These records may include, but are not limited to, applications, resumes, and letters of recommendation.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	3 Years from Close of Search	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	Close of Search	Confidential Destruction

Faculty Employment Search Records

These records document the selection process for academic positions. It includes but is not limited to applications; curriculum vitae or resumes; academic transcripts; writing samples; publications; candidate lists; positions announcements, advertisements or descriptions; and related correspondence such as cover letters and reference letters.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	3 Years from Close of Search	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	Close of Search	Confidential Destruction

Faculty Tenure and Promotion Records

These records document the periodic consideration of faculty who are eligible for changes in rank, tenure status, and/or pay. These records may include but are not limited to promotion and tenure dossiers compiled and presented by the faculty as well as other materials which are compiled and maintained for inclusion, analysis, and summarization into the dossier folders. These records may include but are not limited to candidate current position description; letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants/clients, and peers; student evaluation of faculty reports; committee signature sheets; committee findings; recommendations of administrative superiors; and related documentation and correspondence.

These files should always be maintained physically separate from regular faculty personnel records.

	Record Holder	Retention Period	Disposition
Official Copy	Academic Deans' Offices	Permanent	Transfer to University Archives
Unofficial Copy	Committee members	As needed	Confidential destruction

Mid Point Review Records

These records document the mid-point review process for tenure track faculty positions. Materials may include letters of evaluation; current curriculum vitae or resume; activity summary and evaluations of teaching, curriculum development and advising from students, participants/clients, and peers; student evaluation of faculty reports; committee signature sheets; committee findings; recommendations of administrative superiors; and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Academic Deans' Offices	Until Tenure Decision	Transfer to University Archives
Unofficial Copy	Committee members	As needed	Confidential destruction

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Periodic Developmental Multiyear Review

These records document the periodic peer review process for the professional development of tenured faculty. The records associated with this review include the faculty PDMYR dossier, written peer comments, comments by the dean, and a faculty development plan.

	Record Holder	Retention Period	Disposition
Official Copy	Academic Deans' Offices	Permanent	Transfer to University Archives upon retirement
Unofficial Copy	Committee members	As needed	Confidential destruction

Payroll Records

This series includes garnishment accounting, garnishment orders, payroll checks, payroll history, payroll records, and payroll registers.

	Record Holder	Retention Period	Disposition
Official Copy	Payroll	7 Years	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	2 Years	Confidential Destruction

Timesheets

These records document student and staff hours worked. These records may include time cards, time sheets, and time sheets submitted electronically.

	Record Holder	Retention Period	Disposition
Official Copy	Human Resources	7 Years	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	2 Years	Confidential Destruction

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Benefits Records

These records document employee benefits contributed to or supported by the University or employee during their employment.

	Record Holder	Retention Period	Disposition
Official Copy	Payroll	30 Years after the life of benefit	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Student Employment Records

These records document student employee work histories. These records document work-study and/or regular departmental budgeted student employees. These records may include resumes, timesheets, required employment forms and paperwork, and notes.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Student Payroll	5 Years	Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	1 Year	Confidential Destruction

Academic Records

Accreditation Records

These records document the institutional accreditation process for Simmons University, its graduate schools, and other accredited programs by various accrediting bodies. These records include but are not limited to self-evaluation reports; final reports sent to the accreditation organization; statistical data; working papers; evaluation report; and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Office of the President, Office of the Provost, Dean(s), and/or Program Office	Permanent	Transfer to University Archives
Unofficial Copy	All Other Departments/ Offices	As needed.	Confidential Destruction

Program Review Records

These records document the internal curricular review process for academic programs and departments at Simmons University. These records include but are not limited to self-evaluation reports; syllabi; statistical data; and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Office of the Provost, Dean(s), and/or Department	Permanent	Transfer to University Archives
Unofficial Copy	All Other Departments/ Offices	As needed.	Confidential Destruction

Course Bulletins and Catalogs

These publications document the courses offered by schools, departments, and programs. Academic departments and programs sometimes produce course description booklets that supplement school bulletins. Those booklets may have enduring value and should be transferred to the University Archives for appraisal.

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	Record Holder	Retention Period	Disposition
Official Copy	Office of the Registrar and/or Dean(s)	Permanent	Transfer to University Archives
Unofficial Copy	All Other Depts.	As needed.	Destruction

Class Schedules

These publications document schools, departments, and programs' schedule of classes. This series may include but is not limited to: the final edition of the schedule of classes booklet, requests from departments for class offerings, requests for class changes, working papers, and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Office of the Registrar and/or Dean(s)	<i>Published Class Schedule:</i> Permanent <i>Documents Supporting Schedule Creation:</i> Retain until no longer needed	<i>Published Class Schedule:</i> Transfer to University Archives <i>Documents Supporting Schedule Creation:</i> Confidential Destruction
Unofficial Copy	All Other Departments/ Offices	As needed.	Confidential Destruction

Course Materials

These records include but are not limited to syllabi, course descriptions, course outlines, course summaries, lists of classes by term, bibliographies, reading lists, course announcements, handout materials, and related documents.

	Record Holder	Retention Period	Disposition
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Official Copy	Academic Departments	<i>Course Descriptions and Syllabi:</i> Permanent <i>All Other Materials:</i> To Be Determined	<i>Course Descriptions and Syllabi:</i> Transfer to University Archives <i>All Other Materials:</i> Transfer to University Archives for Appraisal
Unofficial Copy	All Other Departments/ Offices	As needed.	Confidential Destruction

Faculty Papers

These records document the professional and scholarly activities of Simmons University faculty members and may include published or unpublished papers, books, and journal articles, conference presentations, and other work.

	Record Holder	Retention Period	Disposition
Official Copy	Faculty members / Academic Departments	Permanent	Transfer to University Archives.
Unofficial Copy	All Other Departments	As needed.	Destruction

Theses, Dissertations, and Capstone Projects

These materials include final and accepted undergraduate honors theses, masters theses, doctoral dissertations, and undergraduate and graduate capstone projects.

	Record Holder	Retention Period	Disposition
Official Copy	Schools and/or Academic Departments	<i>Undergraduate Honors Theses:</i> To Be Determined by School	<i>Undergraduate Honors Theses:</i> To Be Determined by School

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		<i>Masters Theses and Doctoral Dissertations:</i> Permanent <i>All Other Capstone Projects:</i> To Be Determined by School	<i>Masters Theses and Doctoral Dissertations:</i> Transfer to University Archives in accordance with Archives Policy on Theses and Dissertations <i>All Other Capstone Projects:</i> To Be Determined by School
Unofficial Copy	N/A	N/A	N/A

Student Work

These records include tests, papers, and projects (exempting Undergraduate Honors Theses, Masters Theses, Doctoral Dissertations, and undergraduate and graduate capstone projects completed by students as part of their academic coursework).

	Record Holder	Retention Period	Disposition
Official Copy	Academic Departments	1 Year	Confidential Destruction
Unofficial Copy	N/A	N/A	N/A

Course Evaluations

These records include evaluation forms completed by students and assess the effectiveness of the course, its alignment to learning objectives, and the faculty. These may include individual evaluation forms or aggregations of data.

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	Record Holder	Retention Period	Disposition
Official Copy	Determined by School	Until Promotion and Tenure Decision	Confidential Destruction
Unofficial Copy	All others	As needed	Confidential Destruction

Administrative Records

Meeting Minutes and Agenda

These records document, when appropriate for the matters under consideration, the orders of business and proceedings of meetings held by departments, offices, and other entities.

All departments, offices, and committees should establish and maintain clear internal practices to ensure a single record copy of these records is maintained. All other copies of meeting participants are for their personal reference use only and should be managed appropriately.

	Record Holder	Retention Period	Disposition
Official Copy	Departments and/or Offices; Committee Chair	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

Reports

These records include periodic or special reports that document any activity or project.

All departments, offices, and committees should establish and maintain clear internal practices to ensure a single record copy of these records is maintained. All other copies are for employees' personal reference use only and should be managed appropriately.

	Record Holder	Retention Period	Disposition
Official Copy	Departments and/or Offices; Committee Chair	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

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Policies and Procedures

Policies and procedures document a department, office, program, school, or the entire University's values, rules, activities, and processes.

Most departments and offices produce many copies of policies and procedures. Departments and offices should determine which copy is the official copy and manage it accordingly.

	Record Holder	Retention Period	Disposition
Official Copy	Issuing Departments and Offices	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

Project Records

These records document the development and implementation of projects or major events at Simmons University.

These records can include a broad assortment of materials that should be managed in accordance with their record type (e.g. financial records, meeting minutes, policy proposals).

	Record Holder	Retention Period	Disposition
Official Copy	Departments and/or Offices; Committee Chair	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

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Senior Administration Records

These records document the functions, activities, and decision making practices of senior administrative offices, including the Office of the President, Vice Presidents, and Deans, and may include memoranda, correspondence, policies, and background materials.

	Record Holder	Retention Period	Disposition
Official Copy	Senior Administrative Offices	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

Board of Trustee Records

These records document the functions, activities, and decision making practices of the Board of Trustees, and may include meeting agendas and minutes, correspondence, policies, and background materials.

	Record Holder	Retention Period	Disposition
Official Copy	Office of the General Counsel	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

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Event Records

These records document events and event planning. These records may include but are not limited to calendars, notes, vendor information and correspondence, event programs and publicity, attendance data, correspondence, and accounts payable records.

	Record Holder	Retention Period	Disposition
Official Copy	Sponsoring Departments and Offices	<i>Event Planning & Program Materials:</i> Permanent <i>Event administration:</i> As needed. <i>Events Calendars:</i> Permanent	<i>Event Planning & Program Materials:</i> Transfer to University Archives <i>Event administration:</i> Confidential Destruction. <i>Events Calendars:</i> Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

Institutional Research Records

These records document the collection, interpretation, and dissemination of institutional research, including surveys of faculty, staff, and students. These records may contain

	Record Holder	Retention Period	Disposition
Official Copy	Office of Institutional Research	<i>Collection Tools, Aggregate Data & Reports:</i> Permanent <i>All Other Data:</i> As needed.	Transfer to University Archives Confidential Destruction

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Unofficial Copy	All others	As needed	Confidential Destruction
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Research Records

Funded Grant Proposals

These records document funded grant proposals. These records may include but are not limited to applications; grant proposal narratives; budget; letters of support; notifications of award; contract and agreements; correspondence; progress and final reports.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Sponsored Programs	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

Grant Accounting Records

These records document the financial administration for all funded grants.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Sponsored Programs	7 Years from Close of Funding Period	Confidential Destruction
Unofficial Copy	All others	As needed	Confidential Destruction

Unfunded Grant Proposal Records

These records document funded grant proposals. These records may include but are not limited to applications; grant proposal narratives; budget; letters of support; notifications of rejection.

	Record Holder	Retention Period	Disposition
Official Copy	Office of Sponsored Programs	3 Years	Confidential Destruction

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Unofficial Copy	All others	As needed	Confidential Destruction
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Operations Records

Building, System, and Land Plans

These records include architectural blueprints; sketches; aerial photographs; preliminary planning drawings; as built drawings; drawings reflecting changes to the original plans; soil testing maps; any other type of graphic representation produced relating to buildings, systems, and land.

	Record Holder	Retention Period	Disposition
Official Copy	Facilities Office	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

Construction Project Records

These records are used to document the planning, administration, and implementation of current and potential construction projects; to project needs for projects; and as a reference to projects once they have been completed. These records may include but are not limited to: project descriptions and requirements; plans; plan reviews; project schedules; contract change orders; bid documentation; contracts and agreements with architects, artists, engineers, consultants, vendors, and contractors; materials and soils reports; progress reports; insurance reports; payment schedules; summary reports; memos; and final acceptance statements. These records also include project descriptions, budget projection and allocation records, budget authorization forms, budget change orders, final acceptance statements, and related documentation and correspondence.

	Record Holder	Retention Period	Disposition
Official Copy	Facilities Office	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Confidential Destruction

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Real Property Leasing & Rental Records

These records document the lease and rental of property and may include agreements, contracts, maintenance plans, and administrative materials.

	Record Holder	Retention Period	Disposition
Official Copy	Facilities Office	7 Years after expiration of lease or agreement	Confidential Destruction.
Unofficial Copy	All others	As needed	Confidential Destruction

Legal Records

Contract Records

Records related to the process to enter into a contract or agreement, or understanding including background support materials, drafts, memos, letters, and related correspondence. These records include the contract itself and all attachments and amendments to it.

	Record Holder	Retention Period	Disposition
Official Copy	Departments or Offices, unless specifically retained by University Counsel	7 Years after contract expiration	Confidential Destruction.
Unofficial Copy	N/A	N/A	N/A

Litigation Records

These records provide documentation of legal cases involving the University, including investigative documents, pleadings, final decisions, and other supporting materials.

	Record Holder	Retention Period	Disposition
Official Copy	Office of General Counsel	Permanent	Transfer to University Archives
Unofficial Copy	N/A	N/A	N/A

Grievance Records

These records provide documentation of grievances raised by employees and/or the University, including investigative documents, statements, final decisions, and other supporting materials.

	Record Holder	Retention Period	Disposition
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Official Copy	Office of Human Resources / Office of General Counsel	To Be Determined.	Transfer to University Archives
Unofficial Copy	N/A	N/A	N/A

Marketing Records

Photographic and Audio-Visual Materials

These records document University activities, events, students, faculty, and staff. Still and moving images are typically used for student recruitment, fund-raising, publicity, publications, research, or teaching. Still and moving images include fully identified photographs in print, negative, and slide formats; video recordings; film; and audio recordings in all formats.

Most departments and offices produce many copies of still and moving images. Departments and offices should determine which copy is the official copy and manage it accordingly. All other copies are unofficial copies and should be managed accordingly.

	Record Holder	Retention Period	Disposition
Official Copy	Departments and Offices	Permanent	Transfer to University Archives for Appraisal
Unofficial Copy	All others	As needed	Destruction.

Publications

These records consist of materials produced by Simmons University for the purposes of publicity, student recruitment, fund-raising, and community engagement. Types of publications may include but are not limited to web publications, catalogs, books, magazines, newsletters, handbooks, yearbooks, directories, brochures, pamphlets, media guides, guidebooks, proceedings, programs, and flyers.

These include both final published materials and supporting records related to the development and production of the piece, such as drafts and earlier versions.

	Record Holder	Retention Period	Disposition
Official Copy	Departments and Offices	<i>Final published material:</i> Permanent <i>Supporting production</i>	<i>Final published material:</i> Transfer to University Archives

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		<i>materials: As needed.</i>	<i>Supporting production materials: Destruction.</i>
Unofficial Copy	All others	As needed	Destruction.

Presentations and Speeches

These records consist of presentations given by University administration, faculty, and staff to a variety of audiences for informational or promotional purposes and may include text, images, slideshows, or notes.

	Record Holder	Retention Period	Disposition
Official Copy	Departments and Offices	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Destruction.

News Clippings

These records document Simmons University coverage in local and national media.

	Record Holder	Retention Period	Disposition
Official Copy	Marketing Office	Permanent	Transfer to University Archives
Unofficial Copy	All others	As needed	Destruction.

Consent Forms

These records grant the University permission to release, publish, and otherwise use still and moving images of individuals in publications, including viewbooks, promotional materials, and web publications.

	Record Holder	Retention Period	Disposition
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Official Copy	Marketing Office	Permanent	Transfer to University Archives
Unofficial Copy	N/A	N/A	N/A