



UNIVERSITY OF SOUTHERN MISSISSIPPI GENERAL RECORDS RETENTION SCHEDULE

Approved and adopted in accordance with the University Records Retention Policy and rules and procedures of the Mississippi Department of Archives and History (MDAH) and the State Records Committee (Ref. Mississippi Code, Title 25, Chapter 59)

UNIVERSITY OFFICE OR COLLEGE NAME: Records Common to Most Areas

DEPARTMENT OR OTHER AREA NAME: Records Common to Most Areas

DATE(S) OF APPROVAL/ADOPTION: October 25, 2007; April 19, 2012; July 19, 2012;
April 18, 2013; April 17, 2014; July 17, 2014;
October 23, 2014

Item #	Records Series (and Description)	Retention (Regardless of Format)	MDAH Schedule#
1	Administrative – Accreditation Records	Transfer one (1) copy to University Archives upon completion of accreditation process.	5699
2	Affiliation Agreements (Documents of agreement with external facilities that accept students for purpose of practical experience specifically connected to a USM degree program.)	Retain five (5) years from close or end of agreement; then destroy.	5700
3	Administrative – General Correspondence (Correspondence pertaining to the routine operations of a University office, department, or division. Examples include memos to staff on meeting schedules, planned events, changes in personnel and deadline reminders to staff, students, and faculty.)	Retain three (3) years after end of fiscal year of creation; then destroy.	5702
4	Administrative – Formal Correspondence (Correspondence of historical significance pertaining to programs, administration and mission-specific work of a department. Includes that which would be signed by Director, Department Head, Dean, Vice-President, President or other key officials such as a Budget Officer, Controller, or University Counsel.) ¹	Annually transfer inactive records to University Archives for permanent retention.	5701

¹ Does not include routine announcements covered under General Correspondence.

5	Administrative – Correspondence Logs (Any record to track incoming/outgoing mail, correspondence, etc.)	Retain one (1) year from end of fiscal year of creation; then destroy.	5703
6	Administrative – Delivery Reports (Documentation of goods and supplies shipped or delivered)	Retain one (1) year from end of fiscal year shipped/delivered; then destroy.	5704
7	Administrative – Calendars/Appointment Logs (President and Executive Officers)	Retain one (1) year after end of fiscal year, then transfer to University Archives for Permanent Retention. ²	5819
8	Administrative – Calendars/Appointment Logs (Non-Executive Officers)	Retain one (1) year after end of fiscal year; then destroy.	5820
9	Administrative – Procedures and Policies (Documents that officially initiate, define, or amend procedures and policies for departments, divisions or subunits of USM, or USM as a whole. Records may include, but are not limited to, correspondence, notices to affected personnel, final versions of policies, revisions of directives, and related files.)	Retain in current files area one (1) year from date of approval and/or distribution, then transfer to University Archives for permanent retention. ³	5862
10	Administrative – Event and Conference Files (Included are brochures, advertising materials, press releases, guest lists, and speaker vitae)	Retain one (1) year from date of event; then transfer to University Archives for permanent retention.	5706
11	Administrative – Executive Orders (Materials that initiate and document procedures governing USM and its programs. May originate with Institutions of Higher Learning or other state and federal oversight organizations.)	Retain in office of record as long as order is in effect, then transfer to University Archives for permanent retention.	5823
12	Administrative – Facilities Reservation Logs (This series consists of reservation files for University facilities, including meeting rooms, auditoriums, etc.)	Retain one (1) year in office from date of creation; then destroy.	5707
13	Administrative – Forms History File (This series consists of forms designed for or created by a department, office, or division of the university and establish how USM documented or collected information at a given point in time. Establishes compliance with accrediting and	Once form is revised, transfer one (1) copy to University Archives for permanent retention.	5708

² Executive Officers include the President, Provost, and Vice Presidents of the University.

³ Department may retain reference copies for as long as administratively valuable.

	regulatory requirements. Examples include: student registration, personnel purchasing requisition, cash accounting, departmental services request, field trip release, use of photography, etc.)		
14	Administrative – General Office Procedures (Any manual, guide, etc. that establishes standard office or departmental procedures or processes for daily/annual operations.)	Hold one (1) copy of each version permanently in current files area. Hold all other copies in current files area one (1) year after superseded; then destroy.	5863
15	Administrative – Mail and Telecommunications Listings (This series consists of documents listing addresses, phone numbers, fax numbers or e-mail addresses for staff, faculty, students and routine contacts.)	Retain each generation until superseded; then destroy.	5710
16	Administrative – Agreements for Instruments and Equipment (For all offices or departments responsible for instruments and equipment under agreements/contracts. Includes, but not limited to office equipment, scientific instruments, computers, scanners and cameras. May include warranty documents.)	Hold original or authenticated reproduction three (3) years after release of the audit; then destroy.	G45
17	Administrative – Meetings, Minutes, and Agendas (Includes final version or compilation of minutes, the agenda distributed prior to or at the start of the meeting, plus any audio, video or electronic recording of proceedings, and original notes plus final transcription of meeting minutes)	Hold in office of origin for one (1) year from date of recording, then transfer to University Archives. ⁴	5822
18	Administrative – Mileage Reports (This series consists of mileage reports, logs, or other related records kept on University vehicles.)	Retain three (3) years after fiscal year ends; then destroy. Audit (if any) must also have been released three (3) years prior to disposal.	5713
19	News or Press Releases (News or press release support information provided by departments to the News and Media Relations Office.)	Hold until lapse of administrative need; then destroy.	5714
20	Administrative – Closed Meeting Files (Consists of files of meetings closed to the public. Included are student disciplinary files, hearing	Hold in office of origin for one (1) year from date of	5864

⁴ All documents and media should be clearly identified prior to transfer.

	files, proprietary information files, personnel files, video and audio recordings of meetings, agendas, and related files.)	recording, then transfer to University Archives for permanent retention. ⁵	
21	Administrative – Organization Charts (This series consists of diagrams, charts, and schematics outlining organizational structure, division, departmental and/or personnel relationships, span of control or responsibilities at the University of Southern Mississippi.)	Annually transfer one (1) copy of each approved revision or superseding draft to University Archives for permanent retention.	5746
22	Administrative – Photographs (Photography created for use by USM, regardless of department or office of creation. This includes works for hire done by non–University personnel, as well as photographs taken by University personnel. Availability for use/reuse by USM does not necessarily convey copyright for all images. Includes all formats, negatives, prints, slides, and digital media)	Transfer periodically to University Archives for permanent retention. ^{6,7}	Pending with USM
23	Administrative – Photocopier Use Logs	Hold in current files area one (1) year; then destroy.	5716
24	Administrative – Department Plans and Planning Records (This series consists of records documenting institutional or departmental plans, relating to new or redefined academic programs, institutional or departmental services.)	A single copy set of these records shall be transferred to University Archives for permanent retention at end of year plan is completed.	5717
25	Administrative – Publications– Production Files–Background Materials (This series consists of background material and drafts used in the production of publications. Research publications are not included in this series.)	Hold in current files area one (1) year; then destroy.	5718
26	Administrative – Publications– Production Files–Graphics (This series consists of illustrations, diagrams, artwork, computer–generated graphic images, or photography produced specifically for a publication.)	Annually transfer to University Archives for permanent retention.	5723
27	Administrative – Publications–Final Copy	Transfer a <i>minimum</i> of two (2) copies of each to	Pending with USM

⁵ Contents of recorded media should be clearly identified.

⁶ According to Mississippi Code 25-61-12, photographs taken by UPD for investigative purposes are restricted. Any restrictions or exemptions from public record are to protect personally identifiable information of victims and investigating officers.

⁷ FERPA requires students to give specific releases for the reuse of images if photography is not part of institution’s directory information disclosure statement. FERPA directory information release is retroactive from date of inclusion. Release to Photograph for Publication may also be needed.

	(Publications produced for public distribution. Includes but is not limited to: catalogs, reports (annual and periodic), promotional literature, flyers, calendars, books, studies, pamphlets, posters, leaflets, brochures, magazines, maps, and announcements.)	University Archives annually for permanent retention.	
28	Administrative – Speeches and Papers (Notes, text, or speeches, papers, etc. delivered in conjunction with work. Not limited to administrative officers of the University.)	Transfer a single copy of the document to University Archives upon completion of presentation for permanent retention. (Include guidance on copyright assignment. Author or office of origin retains original.)	G58
29	Administrative – Strategic Plans (For operations and campus planning to provide direction and allocation of resources to accomplish institutional goals.)	Annually transfer final plans to University Archives for permanent retention.	5720
30	Administrative – Visitor Control Registries (This series consists of records documenting visitors to limited access or restricted areas of USM facilities.)	Hold three (3) years after fiscal year of creation; then destroy.	5721
31	Administrative – Work Schedules– Assignments	Hold files one (1) year after end of fiscal year; then destroy.	5722
32	Financial Records – General ⁸ (Purchase requisitions, packing lists, credit card and procurement card (p-card) receipts and reports, periodic account summary reports, travel authorizations and requests for reimbursement, cash receipts, deposit slips, and reconciliation forms or spreadsheets.)	Organize by fiscal year. Hold each fiscal year’s records for three (3) years following end of the audit, then destroy confidentially. ⁹	G1, G6, G7, G37, G39–G43, G46–G48
33	Financial Records – Budget (Budget records of individual offices and departments, including, but not limited to: periodic account summary reports (budget reports), or spreadsheets, regardless of format.)	Hold original or authenticated reproduction three (3) years after release of audit; then destroy. ¹⁰	G5

⁸ The records described in this Common Schedule Item 32 are typically for departmental use. The official records for these items are listed separately, with longer retention periods, on the applicable schedules of the Controller or other responsible office.

⁹ Purge online or electronic versions when paper versions are destroyed.

¹⁰ The official copy of the University budget is maintained indefinitely by the Office of Fiscal Planning and Analysis.

34	<p>Legal – Accident Reports and Associated Documentation–Without claims¹¹ (Departmental copies of accident or occupational disease reports submitted to Public Safety, Risk Management, or Human Resources as part of incident documentation or to prepare employee Workers' Compensations claims.)</p>	Retain three (3) years from date of injury; then destroy.	5837
35	<p>Legal – Copyright Records (A legal record documenting the University's copyrighted materials. Pertains to copyrights for materials created or owned by the University.)</p>	Annually transfer one (1) set of documentation to University Archives for permanent retention. Hold other files in the current files area three (3) years; then destroy.	5840
36	<p>Legal – Copyright Release Records (Records documenting permissions for use of copyright)</p>	Retain four (4) years after request; then destroy.	5841
37	<p>Legal – Litigation Files¹¹ (Records created by or for the University regarding a lawsuit.)</p>	Hold non–archival litigation in the current files area seven (7) years after case has been closed; then destroy.	5842
38	<p>Personnel – Active Files–Departmental Files¹² (Included are: application for employment, personal data summary, attendance records, personnel actions, performance evaluations, cumulative leave records, discipline records, letters of commendation, payroll deduction data, bond, training records, and other records relating to an individual's employment. May include vitas, resumes, letters of reference, etc.)</p>	Hold original or authenticated reproduction until employee is separated; then transfer to Personnel Files – Separated Employees. Active personnel files may be routinely purged of the following material three (3) years after receipt: Request for Leave, Cumulative Leave Records, Attendance Records and Performance Evaluations.	G14, G20
39	<p>Personnel – Separated Employees–Departmental Files</p>	Original or authenticated reproduction of Personnel	G15, G21

¹¹ The records described in this Common Schedule for Items 34 and 37 are typically for departmental use. The official records for these items are listed separately, with at least the same retention, on the applicable schedules of the University Counsel or other responsible office.

¹² The records described in this Common Schedule for Items 38, 39, 42, and 43 are typically for departmental use. The official records for these items are listed separately, with the same or longer retention periods, on the applicable schedules of the Human Resources Department.

	(Included are: application for employment, personal data summary, attendance records, personnel actions, performance evaluations, cumulative leave records, discipline records, letters of commendation, notice of separation/resignation, payroll deduction data, bond, training records, and other records relating to an individual's employment. May include vitas, resumes, letters of reference, etc.)	Files may be destroyed after 6 years PROVIDED personnel reference data is maintained by agency for all employment activity prior to 1978. ¹³	
40	Personnel – Applications for Employment–Not Hired (Applications, resumes, letters of reference, etc. required by employment advertisement.)	Hold original or authenticated reproduction three (3) years, and then destroy confidentially.	G16
41	Personnel – Biographical Information (Vitas or biographical summaries for <i>all levels and positions</i> if or when biographical files are created.)	Retain one (1) year after creation; transfer to University Archives.	5630
42	Personnel – Corrective Action Documentation (Documentation of corrective actions or processes; i.e. those that do not affect pay, status, or tenure and are imposed to correct or improve job performance.)	Retain five (5) years after termination of corrective action; then destroy.	5632
43	Personnel – Disciplinary Action Documentation (Records of disciplinary actions, i.e. those actions that affect pay, status, or tenure including demotion and dismissal.)	Retain five (5) years after termination of employment; then destroy.	5633
44	Personnel – Faculty Promotion, Tenure, and Review–Departmental Files (Materials accumulated to support departmental review of candidates for tenure or tenure renewal.) ¹⁴	Retain five (5) years after receipt of approval of tenure from President's Office by Dean and/or candidate. Add approval letter to employee file and return binder/presentation materials to candidate. Destroy all other materials.	5631

¹³ The information retained must include employee name, social security number, date of birth, race, sex, job titles, dates held, salary history and termination date. This information is maintained by the State Personnel Board for personnel actions after 1977. Personnel reference information should be retained for a period of fifty-five (55) years. Personnel summary data may be retained in any format and media. "Agency" retention will be done by Human Resources.

¹⁴ Include but not limited to annual performance review, student evaluations (originals and compilations), applications for review, presentation binders, and related materials. Also includes ballots, comments, and notes on candidate created by review committee members.

45	Personnel – Grievance Records (Review of employee grievances against policies, working conditions, etc. Includes record of actions taken, correspondence, forms, regardless of format.)	Retain five (5) years after final decision on the grievance; then destroy.	5635
46	Personnel – License and Driving Records Verification Documentation of annual license checks (Commercial Driver’s License, etc.) to ensure that employee has appropriate licensing for operation of University vehicles. May include copies of licenses.)	Retain three (3) years after verification; then destroy.	5629
47	Personnel – Mail–Forwarding Addresses	Retain one (1) year; then destroy.	5634
48	Personnel – Performance Appraisals– Staff and Non–Tenure Track Faculty (Records of performance appraisals or evaluations of employees, including non–tenure track faculty.) ¹⁵	Hold original or authenticated reproduction until employment is separated; then transfer to Personnel Files–Separated Employees in Human Resources (where retained for at least three [3] years).	Personnel Records G14, G20
49	Personnel – Payroll Records–Department Copy (Department copies of time sheets, cards, time clock punch cards, and related data collected from regular staff, temporaries, regular students, and all faculty types.)	Destroy when no longer needed. ¹⁶ Official record retained longer in Controller’s Office.	5625
50	Personnel – Payroll Records–Work Study Students (Department Copy) (Time sheets/cards and data collected from work–study students to document work hours.) ¹⁷	Retain three (3) years after date of last employment; then destroy.	5628
51	Students – Course and Instructor Evaluations (By Students) (Evaluations on instructors and courses completed by students on a semester basis)	Retain in current files area for one (1) semester after completion of evaluations; then destroy.	5850

¹⁵ Does not include tenure-track faculty annual evaluations.

¹⁶ Time sheets/cards for personnel being paid in whole or in part from grant funds may be required to be kept for a number of years beyond the end of the original grant (i.e., as specified in the grant or applicable University policies).

¹⁷ Official time record shall include both student’s and supervisor’s signatures with listing of hours worked.