



# PROCESS AND PROCEDURE FOR UNIVERSITY RECORD RETENTION SCHEDULE

## Process and Procedure: University Record Retention Schedule

### Process

The [University Record Retention Schedule](#) (“Schedule”) provides the minimum length of time that a record must be retained by the university, and in some cases the maximum period as well. The minimum retention period may, in some cases, also serve as the maximum retention period. It is the responsibility of individuals in each department listed on the Schedule to maintain and delete the records in accordance with the Schedule. Deleting records at the end of the retention period helps the university reduce the risk of accidental data loss or disclosure as well as comply with global data protection laws. Records should always be destroyed in a secure manner, regardless of the medium.

To accomplish these goals, the repeatable process set forth below is designed to help divisions assess their records that are on the Schedule and provide guidance on how long to retain and when to safely dispose of records. Findings from three pilots, including the departments of Public Safety, Human Resources and Bouvé College of Health Sciences, were collected to support the development of this new operational process.

If you have questions or need assistance, please send an email to [recordretentionschedule@northeastern.edu](mailto:recordretentionschedule@northeastern.edu).

Below is a screenshot of the University Record Retention Schedule:

Northeastern University Record Retention Schedule ★

#	OFFICIAL REPO...	RECORD TYPE	SUB-CATEGORY	DATA CLASSIFI...	MINIMUM RET...	DELETE AFTER ...	MAXIMUM RET...	+ Add column
200	Registrar	Student Pictures	Student	3 Locks – High Risk	Permanent	No	Permanent	
201	Registrar	Student Registration	Student	3 Locks – High Risk	7 Years from Last Attendance	Yes	Permanent	
202	Registrar	Third party requests for Info	Student	3 Locks – High Risk	4 Years	Yes	No longer maintain hard copies/electronically kept	
203	Registrar	Transcript Requests	Student	2 Locks – Limited	1 Year from Submission Date	Yes	No longer maintain hard copies/electronically kept	
204	Registrar	Transcripts	Student	3 Locks – High Risk	Permanent	No	Permanent	
205	Regulatory Affairs	Higher Education License and Renewal Applications	Legal Records	1 Lock – No Risk	Until Grant of Renewal	Yes	Until Grant of Renewal	
206	Regulatory Affairs	Higher Education Licenses, Authorizations, and Exemptions	Legal Records	2 Locks – Limited	Permanent	No	Permanent	
207	Regulatory Affairs	Notices and Requests from State Higher Education Coordinating Boards	Legal Records	2 Locks – Limited	Until Grant of Renewal	Yes	Until Grant of Renewal	
208	Risk Services	Accident Reports	Insurance	4 Locks – Critical	7 Years	Yes	7 Years	

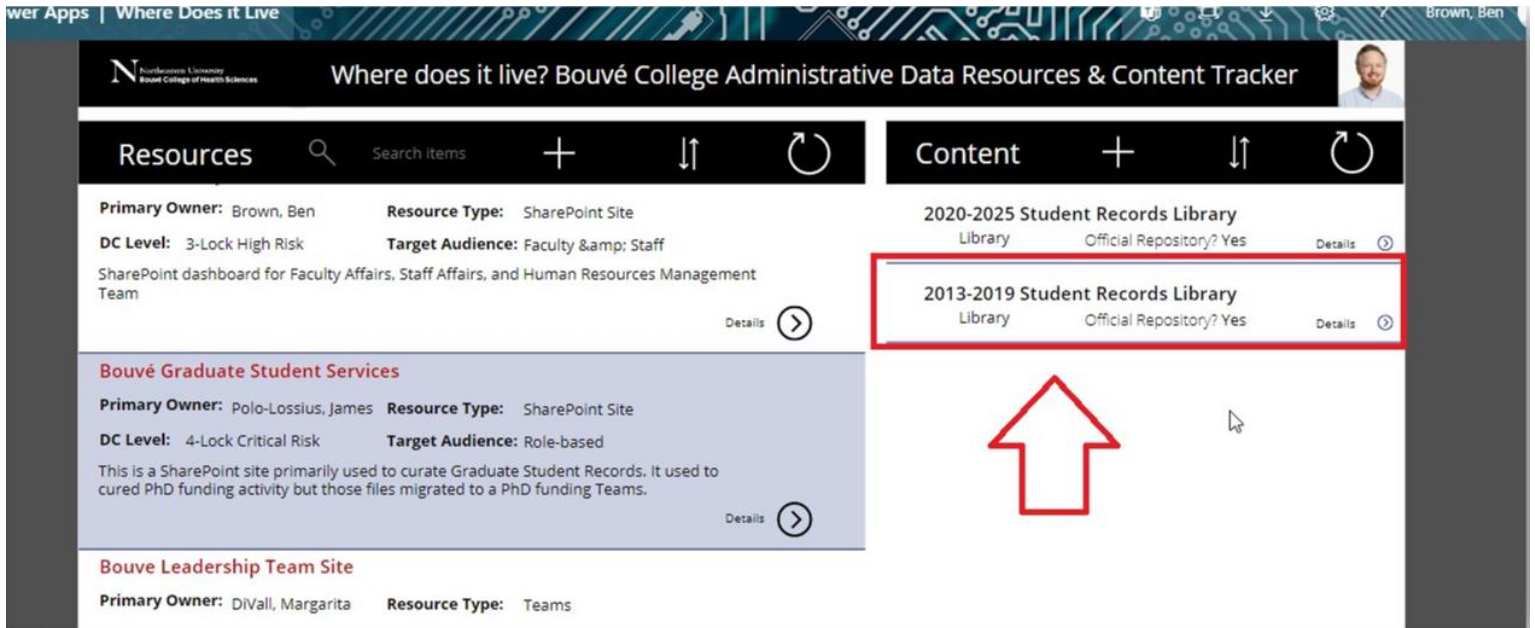
### Procedure

1. Review record(s) listed as line item(s) that pertain to department(s), or program(s).
  - a. Determine the validity of the records, whether those records are still under the department’s or program’s control. If there are record(s) that should be added, removed, or transferred to a different department, please send an email to [recordretentionschedule@northeastern.edu](mailto:recordretentionschedule@northeastern.edu).
2. Collaborate on tracking physical and electronic repository location(s) and contents(s). Assign responsibilities, whether it be tracking the locations by going to them physically or tracking the contents by taking inventory.

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- a. Develop a schedule (annual, monthly, etc.) to continuously track location(s) and content(s).

Below is a screenshot of *Power Apps*, a collaboration tool used by Bouvé College of Health Sciences:



## 2020-2025 Student Records Document Library

>	NU ID	First Name	Last Name	Document C...	Applicable Aca...	Program / Major	Department
>	Document Category : Unassigned (485)						
>	Document Category : Academic Probation (244)						
>	Document Category : Academic Standing (9)						
>	Document Category : Acceptance Form (20)						
>	Document Category : ACPRO (45)						
>	Document Category : Advanced Standing Form (2)						
>	Document Category : Awards (523)						
>	Document Category : Banner Student Access Request Form (1)						
>	Document Category : Certificate of Program Completion (143)						
>	Document Category : Change in List of Candidates for Degree (12)						
>	Document Category : Change of Grade (7)						
>	Document Category : Comprehensive Exam (31)						

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3. Identify and interview record owner(s).
  - a. Review records that have exceeded the minimum retention date and determine if those records have a maximum retention date.
  - b. Collect all records that exceed the established retention date and dispose of them securely.
4. Determine whether / how record(s) will be disposed of in both a timely and secure manner in accordance with the retention period.
  - a. Establish a process (automated or manual) to dispose of records at the end of their maximum retention period (as applicable)
  - b. [Proper Disposal of Records](#) and the [Data Classification Guidelines](#) provide information on how to safely dispose of sensitive records and which records require the most secure controls.

Below is a screenshot of a knowledge base article, outlining shredding options:

KB000019542

## How do I securely dispose of paper documents?

Author by Liu, Sherry • 6d ago • 20 Views • ★★★★★

There are many times when simply recycling or throwing away paper documents is insufficient to securely dispose of university information and records. Northeastern has implemented several policies, including the [Policy on Retention and Disposition of University Records](#), to meet its obligations under various regulations and laws.

### Securely dispose of paper documents

1. Find the latest [Northeastern University record retention schedule](#). The schedule was created based on University policy 704, [Policy on Retention and Disposition of University Records](#).

*Note: Please use your staff credentials to review the record retention schedule if you have multiple credentials. The student credentials don't have access to the schedule file.*

2. Verify that you are not required to preserve the documents you want to dispose of due to a required retention period.

*Note: Once a paper record has been digitized, it is acceptable to dispose of the paper record. Digitized records must capture all information contained in the source documents. Contact the [Office of General Counsel](#) if you have any questions about document retention or record management.*

3. Determine the sensitivity of documents using [Northeastern's data classification guidelines](#). Data considered 2-lock or higher (non-public) must be disposed of using a secure shred bin.

4. If needed, locate the nearest secure shred bin and dispose of your documents. Do not use recycling or standard trash bins. Secure shred bins on campus are typically colored gray, locked, and display language indicating the purpose of the bin.

*Note: The facilities department does not provide shredding services or handle confidential documents. Each department must coordinate this service and is encouraged to use the university's preferred vendor for document shredding, A1 Datashred. Cost is allocated to the requesting department. Find the vendor information in the [Shredded Paper](#) section of the [Disposing Specialty Items at Northeastern](#) page.*

### No secure shred bin access

If you do not have access to a secure shred bin in your department, try the following suggestions:

- Use secure shred bins located on the 1st and 2nd floors of Snell Library. Check with the IT Service Helpdesk if you need assistance locating them.
- Work with your department head to request a secure shred bin for your department using Northeastern's preferred vendor, A1 Datashred. Find the vendor information in the [Shredded Paper](#) section of the [Disposing Specialty Items at Northeastern](#) page.
- If it is not possible to use a secure shred bin service and you must dispose of paper documents, use a cross-cut or particle/confetti-cut shredder. Strip cut should not be used and is considered one of the least secure options. Recycle or dispose of the clippings once finished.

5. Assess outcome of the procedure and use findings to make necessary modifications to the University Record Retention Schedule, or close gaps in your business processes.
  - a. Determine the frequency in which this procedure will be repeated, and the individual(s) required to be involved.
  - b. If there are record(s) that you believe should be added, removed, or transferred to a different department, please send an email to [recordretentionschedule@northeastern.edu](mailto:recordretentionschedule@northeastern.edu).
  - c. If there are contracts, or agreements that include a retention period inconsistent with the retention period on the University Record Retention Schedule, please refer to the contract, or agreement associated with your department, or program.

## Process and Procedure: University Record Retention Schedule

Below is a screenshot of the University Record Retention Schedule, highlighting Bouvé College of Health Sciences and the record “Criminal Record Information reports (CORI or equivalent).” The retention may be different for forms used for the same purpose (e.g., 10-year affiliation agreements for School of Clinical Rehab Sciences):

Northeastern University Record Retention Schedule [★](#)

OFFICIAL REPOSITORY DEPARTMENT	RECORD TYPE	SUB-CATEGORY	DATA CLASSIFICATION LEVEL	MINIMUM RETENTION	DELETE AFTER MINIMUM RETENTION	MAXIMUM RETENTION	→ Add column
Athletics	Waivers and Consent Forms (Club and Intramural Sports)	Legal	3 Locks – High Risk Level	4 years from end of a sport's season	Yes	4 years from end of a sport's season	
Board of Trustees	Articles of Incorporation	Legal Records	ⓘ Required info	Permanent			
Board of Trustees	Board of Trustee Minutes	Legal Records	ⓘ Required info	Permanent			
Board of Trustees	By-Laws	Legal Records	ⓘ Required info	Permanent			
<b>Bouvé College of Health Sciences</b>	<b>Criminal Record Information reports (CORI or equivalent)</b>	Legal Records	2 Locks – Limited Risk Level	3 years after clinical placement ends (the retention may be different for forms used for the same purpose, follow the agreement for the designated school)	Yes	3 years after clinical placement ends (the retention may be different for forms used for the same purpose, follow the agreement for the designated school)	
Business Services	Deeds	Legal Records	ⓘ Required info	Permanent			
College	Academic Records	Student	ⓘ Required info	7 Years From Date of Last Attendance			
College	Academic Search Plans and Statements	Faculty/Employment /Equal Opportunity	ⓘ Required info	7 Years from Date of Appointment			
College	Accreditation	Academic	ⓘ Required info	7 years after accreditation			

The process and procedure for the [University Record Retention Schedule](#) serves as guidance while handling data throughout its lifecycle. If you have questions or need assistance, please send an email to [recordretentionschedule@northeastern.edu](mailto:recordretentionschedule@northeastern.edu).