
Records Management

This retention schedule is authorized under Policy 5.21 Records Management.

1. This policy applies to all employees of Emory University and Emory Healthcare, as well as contractors who conduct business for or on behalf of Emory, and those who create, receive, or retain Emory's records. Any recorded information, regardless of media, characteristics, physical form, storage location, or means of transmission, is considered a record when it is relevant to Emory's legal obligations or business.
2. Each department or office will maintain and dispose of records in compliance with Emory's retention schedule. This schedule supersedes previously approved applicable schedules.
3. Records should not be maintained past the end of their stated retention unless involved in current litigation, investigation, or audit. All known audits, investigations, or court cases involving the listed records must be resolved before the records can be destroyed.
4. The retention schedule applies to all records, regardless of format. Records must be accessible throughout their retention period in analog or digital format.
5. Departments and offices will destroy records that have not been deemed permanent in the manner identified by the retention schedule. Confidential paper must be shredded; electronic records must be made unreadable by being overwritten or the storage media being physically destroyed. Record-keeping systems must be capable of the complete deletion of records; it is not sufficient to take information off-line.
6. Departments and offices will routinely transfer records with continuing and enduring value, as identified on the retention schedule, to the University Archives.
7. The heads of departments or offices are responsible for ensuring that procedures within their area of responsibility meet the requirements of Emory's records management program relative to record identification, control, maintenance, storage, and disposition. All employees are responsible for managing the records in their possession in and in compliance with this schedule.

<i>Title</i>	Asbestos Records
<i>Description</i>	This series documents surveys and plans to correct asbestos material hazards. This series may include, but is not limited to: surveys; monitoring tests and reports; data forms building plans; correction checklists; and removal records.
<i>Retention</i>	Retain until building is demolished or sold or until administratively necessary.
<i>Disposition</i>	Confidential destruction not required.
<i>Citations</i>	29 CFR 1926.1101 (n)(1)(iii);

<i>Title</i>	Building Blueprints
<i>Description</i>	A two-dimensional set of drawings that provides a detailed visual representation of how an architect wants a building to look.
<i>Retention</i>	Permanent, but may be updated by architect as projects are modified.
<i>Disposition</i>	Records are ineligible for destruction and ineligible for transfer to University Archives.
<i>Citations</i>	

<i>Title</i>	Building Plans and Specifications
<i>Description</i>	A method of commercial construction project delivery where design drawings or plans are created along with written specifications to further describe the equipment and parts shown in the drawings.
<i>Retention</i>	Permanent, but may be updated by architect as projects are modified.
<i>Disposition</i>	Records are ineligible for destruction and ineligible for transfer to University Archives.
<i>Citations</i>	

Title Building Space Inventory and Valuation Records

Description Records that documents the buildings owned and leased by Emory both on and off campuses. Building space inventory reports are used to project Emory space needs; to identify deferred maintenance; and to provide cost recovery support documentation for units receiving federal money, grants, or private gifts. Records include reports detailing building, type of space, principal use, unit, and area.

Retention Permanent for summary space inventory and building valuation reports

Disposition Ineligible for destruction

Citations

Title Building/Grounds Repair, Maintenance, Remodeling, and Construction Records

Description Records that document the condition, upkeep, and routine maintenance of the university's buildings and grounds. It also documents remodeling and construction projects with a total expenditure of less than \$100,000 over six years. File may include floor plans; specifications; layouts; sketches; maintenance agreements; work logs; sign-in sheets; correspondence; and other related records.

Retention Permanent for floor plans, layouts, sketches, and specifications

Disposition Ineligible for destruction

Citations

Title Capital Construction Project Records

Description Records that document the planning, administration, and implementation of current and potential capital construction projects (projects with a total expenditure of over \$100,000). File may include project descriptions and requirements; budget projection and allocation records; budget change orders; plans and 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; final acceptance statements; architectural blueprints; sketches; aerial photographs; preliminary planning drawings; as built

Retention Permanent for final reports and budget, specifications, as built drawings, annotated drawings, architectural blueprints, aerial photographs

Disposition Ineligible for destruction

Citations

<i>Title</i>	Chemical Application Records
<i>Description</i>	Records that documents the application of chemicals such as pesticides, herbicides, and fertilizers to Emory property. Information may include date used, weather conditions, application area, chemical applied, mix ratio, coverage rate, and other related information.
<i>Retention</i>	Retain for thirty years after date of application.
<i>Disposition</i>	Confidential destruction not required.
<i>Citations</i>	

<i>Title</i>	Child and Youth Program Participant Records
<i>Description</i>	Records that document the participation of children and youth in programs sponsored by Emory. The file may include applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and other related records.
<i>Retention</i>	Retain for three years after participants reach age of majority.
<i>Disposition</i>	Confidential destruction required
<i>Citations</i>	

<i>Title</i>	Cleaning Logs
<i>Description</i>	A log or documentation of cleaning a space on a routine basis
<i>Retention</i>	Retain for current year plus three years.
<i>Disposition</i>	Confidential destruction not required.
<i>Citations</i>	

Title Cleaning Records

Description Records that show the details relative to cleaning a space on a routine basis

Retention Retain for current year plus three years.

Disposition Confidential destruction not required.

Citations

Title Emergency Generators

Description Records used to show the details relative to when emergency generators are used

Retention Retain records for two years after services performed.

Disposition Confidential destruction required.

Citations 40 CFR 51.214 (d)(1); 40 CFR 60.7 (f); 40 CFR 60.705 (f); 40 CFR 60.758 (f); 40 CFR 61.33; 40 CFR 61.34 (c);

Title Equipment Inventory Records

Description Records that document the acquisition, location, transfer, and disposition of Emory-owned property and equipment. File may include equipment inventory lists, lost/stolen property reports, damage or loss property claim, equipment transfer records, correspondence, and other related records.

Retention Life of equipment plus 4 years. Inventories dealing with grant related requirements may have a longer retention - Check with Office of Grants and Contracts.

Disposition Confidential destruction not required.

Citations

<i>Title</i>	Equipment Loan Agreements Records
<i>Description</i>	Records that document the lending of equipment to borrowers conducting research, educational programs, and or other activities consistent with Emory goals and missions. File may include signed loan agreements, correspondence, and other related records.
<i>Retention</i>	Retain for seven years after termination of agreement
<i>Disposition</i>	Confidential destruction required.
<i>Citations</i>	O.C.G.A. 9-3-24;

<i>Title</i>	Equipment Maintenance Records
<i>Description</i>	Records that documents the operation, maintenance, service and repair of university equipment. File may include purchase orders; lease agreements; warranties; instructions and operating manuals; vendor statements; service contracts; charge call bills; fax activity reports; service logs; invoices for equipment repair; purchase request records; and memoranda.
<i>Retention</i>	Retain for three years after disposition of equipment.
<i>Disposition</i>	Confidential destruction not required.
<i>Citations</i>	O.C.G.A. 9-3-33 (s1a); O.C.G.A. 9-3-33 (s1b); O.C.G.A. 9-3-33 (s1c);

<i>Title</i>	Equipment Records
<i>Description</i>	Records that document the purchase or lease, operation, maintenance, service and repair of equipment. File may include: purchase orders; lease agreements; warranties; inspection records; instructions and operating manuals; vendor statements; service contracts; charge call bills; fax activity reports; service logs; invoices for equipment repair; purchase request forms; memoranda; and other related records.
<i>Retention</i>	Retain for the life of the equipment or administratively necessary. Records should be kept with equipment if given to another unit.
<i>Disposition</i>	Confidential destruction not required.
<i>Citations</i>	

Title Identification Card Records

Description Records that document the issuance of identification cards to university students, staff, and faculty. File may include signature cards; monthly detail reports; and other related records.

Retention Retain for five years after person graduates or termination of employment.

Disposition Confidential destruction required.

Citations

Title Inspection Records

Description This series documents inspections done by various agencies in the course of routine business and is used to correct and analyze safety problems and to document compliance with regulations. This series may include, but is not limited to: inspection sheets which show date of inspection, notation of violations, and suggested corrective measures; and reports acknowledging compliance with regulations.

Retention Permanent

Disposition Records are ineligible for destruction and ineligible for transfer to University Archives.

Citations

Title Inventory Records

Description Records that document lists of material owned by Emory either purchased with Emory or grant funds. List may include information on equipment, books, furniture, etc.

Retention Retain grant related inventories for three years from the date of submission of the final expenditure report or for awards that are renewed

Disposition Confidential destruction required

Citations 2 CFR 215.53 (b); 2 CFR 215.53 (b)(2);

<i>Title</i>	Key Insurance Records
<i>Description</i>	Records that document key assignments and deposits (if applicable) for university faculty, staff, students, and others using the university's facilities. File may include key pinning sequence records; key issue approval records; return records; key inventories; and other related records.
<i>Retention</i>	Retain for three years after key is checked in.
<i>Disposition</i>	Confidential destruction not required.
<i>Citations</i>	

<i>Title</i>	Leases
<i>Description</i>	Records that document agreements made by an agency for the transfer of the right to possession and use (but not sale) of goods or property for a specified term. Records may include copies of lease agreements and amendments or addenda. Leases are typically for office space, equipment, real estate, or facilities.
<i>Retention</i>	Retain for seven years after expiration.
<i>Disposition</i>	Confidential destruction required.
<i>Citations</i>	O.C.G.A. 9-3-24;

<i>Title</i>	Licensure Records
<i>Description</i>	Records that document the professional and regulatory issuance of credentials to individuals and facilities providing services within the student health center. File may include license applications, inspection reports, individual employee professional licenses, and other related records.
<i>Retention</i>	Retain until superseded or until administratively necessary.
<i>Disposition</i>	Confidential destruction required
<i>Citations</i>	

Title Parking Permit Records

Description Records that document the issuance of permits for on-campus parking. File may include annual permit cards; temporary permits; parking permits reports; and other related records.

Retention Retain 3 years after expiration.

Disposition Confidential destruction required

Citations

Title Postal and Shipping Records

Description Records that document items are that are mailed by units UPS, U.S. Postal Service, Federal Express, or another carrier. Files may include printing and mailing shipping records; parcel mailing order records; and other related records.

Retention Retain for current year plus three months.

Disposition Confidential destruction not required

Citations

Title Property Disposition Request Records

Description Records that document the custodial units' requests to change the status of Emory-owned property. A status change may consist of declaring an item surplus, salvage or scrap, lost or stolen, transferred, traded in, or some other classification. File may includes property disposition requests records, correspondence, and other related records.

Retention Retain for current year plus five years.

Disposition Confidential destruction required

Citations O.C.G.A. 9-3-26;

Title Room Change Request Records

Description Records that document room assignments and remodeling done by Facility Management Department. Information may include the building and room; the reason for the change; who requested the change; who approved the change; date the change was requested; source of funds; special approvals needed; date approved and other related information.

Retention Retain current year plus seven years.

Disposition Confidential destruction not required

Citations O.C.G.A. 9-3-26;

Title Sale Inventory Records

Description Records that document salable items in Emory's inventories. File may include inventory reports, correspondence, price listing of items, and other related records.

Retention Retain current year plus four years.

Disposition Confidential destruction not required

Citations

Title Surplus Property Records

Description Records that documents changes in Emory owned property; requests to declare items surplus, salvage, or scrap; removal and sale or disposal of excess equipment and other surplus items including proceeds from sales. File may include surplus property declaration and pick-up requests; quarterly reports of sales to other departments, or private parties; descriptive information; property sale flyers; surplus property sales inventory lists; bills of sale; cash receipts; correspondence; and other related records.

Retention Retain current year plus four years.

Disposition Confidential destruction not required

Citations

Title Telephone Records

Description Records that document telephone line assignments, long distance code assignments, account charges lists, information about telephone systems on campus and other related information.

Retention Retain until administratively necessary.

Disposition Confidential destruction not required

Citations

Title Utilities Systems Operating and Maintenance Records

Description Records that document the operations and maintenance of utilities. File may include equipment operations logs, mechanical reading charts, equipment maintenance histories, correspondence, and other related records.

Retention Retain for five years after equipment is no longer in service for equipment maintenance histories

Disposition Confidential destruction not required

Citations

Title Utility Locate Requests

Description Records that document the notification of persons anticipating digging on campus property who need to know the locations of underground utility lines. Request information may include date and location of the work; instructions; contact person; and other related information.

Retention Retain for current year plus two years.

Disposition Confidential destruction not required

Citations

<i>Title</i>	Vehicle Records
<i>Description</i>	Records that document the administration of vehicles for accounting and insurance purposes. File may include registrations, vehicle warranties, maintenance agreements, service contracts, vehicle inventories, maintenance and repair logs, maintenance requests and work orders, gas slips, repair notices and authorizations, correspondence, and other related records.
<i>Retention</i>	Retain for three years after disposal of vehicle.
<i>Disposition</i>	Confidential destruction not required
<i>Citations</i>	

<i>Title</i>	Vehicle Title Records
<i>Description</i>	Records that document Emory ownership of vehicles. File may include title application materials and titles.
<i>Retention</i>	Retain title application materials until title is received or until administratively necessary. Retain title for the duration of vehicle ownership.
<i>Disposition</i>	Confidential destruction required
<i>Citations</i>	

<i>Title</i>	Work Orders Records
<i>Description</i>	Records that document request and authorizations for needed services and/or repairs to Emory property and equipment. File may include copy of work order, change orders, maintenance and repair authorizations, and other related records.
<i>Retention</i>	Retain for current year plus five years.
<i>Disposition</i>	Confidential destruction not required
<i>Citations</i>	O.C.G.A. 9-3-26;
