
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, who create, receive, or retain University 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. Recordkeeping 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 compliance with this schedule.

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| <i>Title</i> | Alcohol Beverage Control |
| <i>Description</i> | Records that document annual and temporary event licensing for dispensing and serving alcoholic beverages. File may include applications for licensing; application for server permits; and other related records. |
| <i>Retention</i> | Retain for three years after event. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | O.C.G.A. 3-3-6 (a); |

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| <i>Title</i> | Communicable Disease Records |
| <i>Description</i> | Records that document the public health requirement of reporting the discovery of communicable disease. File may include laboratory test results, name and address of student, date, and person making referral. Information is transferred to the county health department, but the log is maintained by the laboratory. |
| <i>Retention</i> | Retain current year plus three years. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | O.C.G.A. 10-11-2; |

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| <i>Title</i> | Counseling, Psychological, and Psychiatric Case Records |
| <i>Description</i> | Records that document all clients who are provided counseling, psychological, and psychiatric services by Emory's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. The psychiatric consultant provides psychiatric care to some student clients. Records may include extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of inrecordation agreements; letters to agencies or others concerning the clients; and other related records. |
| <i>Retention</i> | Retain current year plus 10 years. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | 42 CFR 482.24 (b)(1); 9-3-72; O.C.G.A. 9-3-71 (a); O.C.G.A. 9-3-71 (b); |

Title Federal Title IV Program Records and Institutional Records

Description Records that document eligibility to participate and school's administration of Federal Title IV and programs. Records may include Program Participation Agreement; recertification; education program eligibility; accreditation reviews and reports; audits and program reviews; other records, as specified in regulation, that pertain to factors of financial responsibility and standards of administrative capability; and consortia agreements between and among schools; and other related records.

Retention Retain for three years after the end of the award year for which the report was submitted.

Disposition Confidential destruction required

Citations 34 CFR 668.24 (e)(1),(2); 34 CFR 668.24 (e)(3);

Title Fraternity and Sorority Membership

Description Records that document each member of the organization. Information may include high school attended, major, hometown, date pledged, graduation date, offices held, awards received, and other related information.

Retention Retain for five years after last enrollment.

Disposition Confidential destruction required

Citations

Title Greek Life Records

Description Records that document all authorized sororities and fraternities associated with Emory. File may include organization charters and by-laws, housing information, and Rush materials.

Retention Permanent

Disposition Records are ineligible for destruction.

Citations

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| <i>Title</i> | Honor Code Violations Not Resulting in Suspension or Expulsion |
| <i>Description</i> | This series documents the investigation and outcome of alleged violations of undergraduate and graduate honor codes, which do not result in the student's suspension or expulsion. This series may include, but is not limited to: incident reports, notification of allegation, hearing notes, decision statements, appeals documentation, and final report. |
| <i>Retention</i> | Retain 5 years from the end of the academic year in which the case is resolved. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | |

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|--------------------|---|
| <i>Title</i> | Honor Code Violations Resulting in Suspension or Expulsion |
| <i>Description</i> | This series documents the investigation and outcome of alleged violations of undergraduate and graduate honor codes which result in the student's suspension or expulsion. This series may include, but is not limited to: incident reports, notification of allegation, hearing notes, decision statements, appeals documentation, and final report. |
| <i>Retention</i> | Retain 75 years from the end of the academic year in which the case is resolved. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | |

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| <i>Title</i> | Housing Assignment Files |
| <i>Description</i> | Records that document the assigning of students to University housing. File may include correspondence, list of students, applications for housing, and other related records. |
| <i>Retention</i> | Retain for six years after termination of contract. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | O.C.G.A. 9-3-24; |

Title PAL Records

Description Records that document students applying and participating as teachers in the PAL program. Chosen applicants participate in Peer Teaching, Freshman Seminar, and other related activities. File may include application, interview questionnaire, and other related records.

Retention Retain current year plus four years.

Disposition Confidential destruction required

Citations

Title Services to Students with Disabilities (SSD) Records

Description Records that document student participation in the Services to Students with Disabilities Program. Records may include health reports, physicians' statements, correspondence, and other related records.

Retention Retain for five years after graduation or date of last attendance.

Disposition Confidential destruction required

Citations

Title Student Alcohol and Drug Education Records

Description Records that document students who have been through the alcohol and drug education program.

Retention Retain for current year plus five years.

Disposition Confidential destruction required

Citations

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| <i>Title</i> | Student Conduct Violations Not Resulting in Suspension or Expulsion |
| <i>Description</i> | This series documents the investigation and outcome of alleged violations of the student code of conduct, which do not result in the student's suspension or expulsion. This series may include, but is not limited to: incident reports, notification of allegation, hearing notes, decision statements, appeals documentation, and final report. |
| <i>Retention</i> | Retain 7 years from the end of the academic year. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | 34 CFR 668.24 (e)(1),(2); 34 CFR 668.24 (e)(3); |

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| <i>Title</i> | Student Conduct Violations Resulting in Suspension or Expulsion |
| <i>Description</i> | This series documents the investigation and outcome of alleged violations of the student code of conduct, which result in the student's suspension or expulsion. This series may include, but is not limited to: incident reports, notification of allegation, hearing notes, decision statements, appeals documentation, and final report. |
| <i>Retention</i> | Retain 75 years from the end of the academic year. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | 34 CFR 668.24 (e)(1),(2); 34 CFR 668.24 (e)(3); |

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| <i>Title</i> | Student Health Insurance Records |
| <i>Description</i> | Records that document students' insurance coverage activity under Emory insurance policies. File may include benefit explanations, payment summaries, check copies, copies of invoices, policy change sheets, and other related records. |
| <i>Retention</i> | Retain for five years after expiration of policy. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | O.C.G.A. 9-3-26; |

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| <i>Title</i> | Student Housing Contract Appeal Records |
| <i>Description</i> | Records that document the disposition of appeals made by residents who have been assessed the standard penalties for failing to follow the terms of their housing/food service contracts. File may include students' appeals stating their reasons for seeking modification of contract terms; decisions from the director of housing, including instructions for further appeal if students have additional relevant information and desire to proceed; correspondence; and other related records. |
| <i>Retention</i> | Retain six years after expiration of contract. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | O.C.G.A. 9-3-24; |

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| <i>Title</i> | Student Housing Contract Records |
| <i>Description</i> | Records that document occupancy in all university-administered housing -- residence halls, family housing, and cooperative housing. File may include residence hall/cooperative house/student family housing applications and contracts; proof of admission records; correspondence; and other related records. |
| <i>Retention</i> | Retain six years after expiration of contract. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | O.C.G.A. 9-3-24; |

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| <i>Title</i> | Student Medical Records |
| <i>Description</i> | Records that document student health history. File may include dental history, immunization history and other related records. |
| <i>Retention</i> | Retain three years after last service or until client reaches age twenty-one, whichever is longer. |
| <i>Disposition</i> | Confidential destruction required |
| <i>Citations</i> | 9-3-72; 9-3-73 (b); 9-3-73 (c)(1); 9-3-73 (c)(2)(B); O.C.G.A. 9-3-71 (a); O.C.G.A. 9-3-71 (b); |

Title Student Patient Logs

Description Records that document the logging in of patients into the student health facility. Information may include date, time, physician assigned, diagnosis, remarks, and other related information.

Retention Retain for current year plus four years.

Disposition Confidential destruction required

Citations O.C.G.A. 9-3-33 (s1a); O.C.G.A. 9-3-33 (s1b); O.C.G.A. 9-3-33 (s1c);

Title Study Abroad Records

Description Information collected to assist persons wishing to study abroad. File may include orientation material, Atlanta sites, publications, linkages to websites and other related information.

Retention Information should be weeded annually to remove outdated information. Retain until administrative usefulness is completed.

Disposition Confidential destruction not required

Citations

Title Title IX Violations Not Resulting in Suspension or Expulsion

Description This series documents the investigation and outcome of alleged violations of the sexual misconduct policy by students, which do not result in the student's suspension or expulsion. This series may include, but is not limited to: incident reports, notification of allegation, hearing notes, decision statements, appeals documentation, and final report.

Retention Retain 7 years from the date of the incident.

Disposition Confidential destruction required

Citations 34 CFR 668.24 (e)(1),(2); 34 CFR 668.24 (e)(3);

Title Title IX Violations Resulting in Suspension or Expulsion

Description This series documents the investigation and outcome of alleged violations of the sexual misconduct policy by students, which result in the student's suspension or expulsion. This series may include, but is not limited to: incident reports, notification of allegation, hearing notes, decision statements, appeals documentation, and final report.

Retention Retain 75 years from the date of the incident.

Disposition Confidential destruction required

Citations 34 CFR 668.24 (e)(1),(2); 34 CFR 668.24 (e)(3);
