

UALR RECORD RETENTION SCHEDULE
Academic Affairs

Operations and Personnel

Type of Record	Description of Record	Retention Period	Retention Location	Custodian	Source of Retention Requirement
ADHE Reports	Reports requested by the Arkansas Department of Higher Education	5 years after date of report	Provost's Office	Provost and Vice Chancellor for Academic Affairs	UALR
Annual Reports	Overview of calendar year by each academic unit and college/school	5 years after date of report	Dean's Office	Dean of college or school	UALR
Accreditation Records (UALR)	Reports/letters approving accreditation of the University	Indefinitely	Chancellor's Office	Chancellor	UALR
Accreditation/ Program Review Reports	Reports prepared by academic units/departments for accreditation or program reviews of academic departments or units	10 years following the last accreditation or program review cycle	Provost's Office	Provost and Vice Chancellor for Academic Affairs	UALR
Assessment	Annual reports prepared by academic units/departments for program assessment	10 years	Dean's Office/Web Site	Dean of college or school	UALR
Complaint records--Public	Formal complaint documents received by academic unit/ department/college/school or Provost's Office from the public (non-student) concerning general operations or its employees, and records pertaining to the resolution of the complaint	In accordance with Human Resources Record Retention Plan for employee-related complaints, all others 1 year after final disposition of complaint unless subject to litigation	Unit receiving the complaint, Human Resources (for complaints related to employees), University Attorney's Office (for litigated cases)	Unit head, Human Resources (for complaints related to employees), University Attorney's Office (for litigated cases)	UALR
Concurrent Employment	State form required if employed by two-state agencies concurrently or two units in the same agency	Remains with Personnel File indefinitely	Human Resources	Human Resources	UALR
Conflict of Interest Forms	Disclosure Statement indentifying potential conflicts of interest activities	Remains with Personnel File indefinitely	Human Resources	Human Resources	UALR

Type of Record	Description of Record	Retention Period	Retention Location	Custodian	Source of Retention Requirement
Correspondence & memos Note: Retention of e-mail correspondence is decided by the CONTENT not the medium of the record	Executive-level correspondence regarding policies and procedures	1 year	Academic unit	Academic Unit Head	UALR
Curriculum Change Forms	Documents submitted to Undergraduate Council and/or Graduate Council, or adopted by the faculty of the Bowen School of Law to add/delete or modify academic courses, programs or degree requirements	Indefinitely	Provost's Office	Provost and Vice Chancellor for Academic Affairs	UALR
Deans' Council Agendas and Minutes	Agendas and minutes of the weekly Deans' Council meetings	3 years	Provost's Office	Provost and Vice Chancellor for Academic Affairs	UALR
Employee EEO grievance records and reports— Charges Filed	Documents the proceedings of an employee EEO grievance, including the initial complaint, actions, investigations, summary and disposition	3 years or until final disposition of the charge or action, whichever is greater (see Human Resources Record Retention Plan)	Office of Human Resources	Director of Human Resources	Federal statutes
Employee EEO grievance records and reports— Charges Not Filed	Documents the proceedings of an employee EEO grievance, including the initial complaint, actions, investigations, summary and disposition	3 years from the incident report (see Human Resources Record Retention Plan)	Office of Human Resources	Director of Human Resources	Federal statutes
Employee Non-EEO grievance records and reports (including faculty cases sent to the Faculty Appeals Council)	Documents the proceedings of an employee Non-EEO grievance, including the initial complaint, actions, investigations, summary and disposition	3 years after closure (see Human Resources Record Retention Plan)	Provost's Office and Human Resources	Provost and Vice Chancellor for Academic Affairs Director of Human Resources	UALR
Exceptions to Minimum Enrollments Requests	Form requesting an exception for courses that do not meet the minimum enrollment requirements	5 years	Provost's Office	Provost and Vice Chancellor for Academic Affairs	UALR

Type of Record	Description of Record	Retention Period	Retention Location	Custodian	Source of Retention Requirement
Faculty Senate Minutes and Transmittals	Official Faculty Senate minutes approved (with corrections) by the Senate; transmittal forms with Senate legislation or resolutions	Indefinitely	Senate Counselor Provost's Office Library Archives	Faculty Senate President Provost and Vice Chancellor for Academic Affairs	UALR
Faculty Senate audio recordings	Audio recording of Faculty Senate meetings	Indefinitely	Provost's Office	Provost and Vice Chancellor for Academic Affairs	UALR
Freedom of Information Act (FOIA) Documentation	FOIA requests and reply to the request (Note: the reply does not include the records provided pursuant to the FOIA request)	Indefinitely pending clarifying policy from UA System	Office of Communication	Director of the Office of Communication	UA System
Governance Documents	Documents that describe the academic unit's governance structure, policies and procedures	Until replaced by new governance document plus five years	Academic unit	Academic unit head	UALR
Grants/Contract Proposals	Grant/Contract proposals submitted for either external or internal funding	Until final audit or in compliance with grant regulations and specifications, whichever is greater	Dean's office	Dean of college or school	State or granting authority
Instructional Load Reports (including overload assignments)	Reports reflecting faculty instructional effort	5 years	Dean's Office	Dean of College or School	UALR
Late Textbook Adoption Requests (copies; originals sent to UALR Bookstore)	Form requesting approval for late order of textbook	One year or until information is entered into annual report	Provost's Office	Provost and Vice Chancellor for Academic Affairs	UALR
Late Textbook Adoption Annual Report	Annual report submitted to ADHE at request of legislature	One year	Provost's Office	Provost and Vice Chancellor for Academic Affairs	ADHE
Outside Employment Forms	Forms requesting prior approval of outside employment for UALR employees	Remains with Personnel File indefinitely	Human Resources Provost's Office (copy)	Director of Human Resources Provost and Vice Chancellor for Academic Affairs	UALR

Type of Record	Description of Record	Retention Period	Retention Location	Custodian	Source of Retention Requirement
<p>Personnel/Employment file for faculty and non-classified staff (full-time, part-time, resigned or retired)</p> <p>Note: the Department of Human Resources maintains the “official personnel/employment file” for all University employees</p>	<p>An employment file for all faculty (tenured, tenure-track, non-tenure track and part-time) and non-classified staff that contains a resume, application records, offer letter, employment records, evaluation records, conflict-of-interest and outside employment records, correspondence, OCDA reports, grants and contracts summary information, honors and awards, termination records</p>	<p>3 years following the termination of employment</p> <p>Note: All original documents must be submitted to Human Resources before files are shredded.</p>	<p>Either the academic department or the dean’s office.</p> <p>Policy regarding the location of the office of record to be formalized in each college or school, approved by the dean of the college or school, and endorsed by the Provost.</p>	<p>Academic department chair/director or the Dean of college or school</p>	<p>UALR</p>
<p>Recruitment, hiring, interview and selection records for faculty and non-classified staff positions</p>	<p>Documentation of recruitment, selection, hire and promotion of employees, includes position descriptions, job announcements and advertisements, selection criteria, evaluations, rankings and employment applications of successful and unsuccessful applicants</p>	<p>3 years from date position is filled</p>	<p>Human Resources</p> <p>Note: Hiring units should submit records to HR.</p>	<p>Director of Human Resources</p>	<p>Federal (HR must keep records for 3 years)</p>
<p>Sponsored programs accounting (pre & post award documentation)</p>	<p>Agency correspondence, work papers, support documentation</p>	<p>3 years after close</p>	<p>ORSP vault</p>	<p>VP for Research and Graduate Studies</p>	<p>UALR</p>
<p>Strategic Plans</p>	<p>Department/college/school strategic plans, disaster preparedness/recovery plans, business continuity plans and information technology plans</p>	<p>Until plan is replaced by an updated version plus 1 year</p>	<p>Dean’s Office</p>	<p>Dean of college or school</p>	<p>UALR</p>
<p>Tenure and Promotion application materials</p>	<p>Tenure and promotion application form with signature page; recommendations from department committee, chair and dean; final decision (note: copies sent to HR, all other materials will be returned to</p>	<p>3 years following termination of employment</p>	<p>Provost’s Office</p>	<p>Provost and Vice Chancellor for Academic Affairs</p>	<p>UALR</p>

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	dean's office)				
Tuition Discount Forms	Forms submitted by UALR employees for discounted tuition for themselves or an immediate family member	3 years for originals (Bursar's Office) 1 year for copies (Provost's Office)	Bursar's Office (originals) Provost's Office (copies)	Bursar Provost and Vice Chancellor for Academic Affairs	UALR

Student Records

Type of Record	Description of Record	Retention Period	Retention Location	Custodian	Source of Retention Requirement
Class Records	Grade records, evaluations and materials kept by instructor as evidence of student performance in a specific section of a course; may include record of grades for assignments, written evaluations, attendance records, etc.	1 year following the assignment of the final grade for the course	Academic department of the course for which the records are kept	Instructor, or Department Chair in the event of an instructor who is no longer employed by UALR	UALR
Degree Plan*	List of all course requirements for degree completion prepared by major department and signed by student, advisor, chair and dean	Indefinitely	Academic department of student's major	Department Chair	UALR
Degree Plan related documents and correspondence (Advising Record)*	May include advising worksheets, exception and waiver documentation, e-mails and other correspondence	Indefinitely	Academic department of student's major	Department Chair	UALR
Grade Appeals	All documents, forms, materials and tape recording resulting from a grade appeal hearing	5 years following the final decision of the appeal	Provost's Office	Provost and Vice Chancellor for Academic Affairs	UALR
Graduate Agreement Plan Contracts (Act 1014)	First-time entering freshmen have the option of signing a contract guaranteeing graduation in 8 semesters of planned study	Indefinitely	Records and Registration (with copy in Academic department of student's major)	Registrar	UALR
Student Complaint/ Issue files—non-grade appeal	Documents, notes and materials related to a non-grade appeal complaint, problem or issue	1 year following graduation or 5 years after initiation	Unit in which case is initiated	Unit Head	UALR

*The Office of Records and Registration maintains the student's official record and transcript. Department and College offices may be required to submit certain documents to Records and Registration for the student's official record. Documents that have been submitted to the student's official record may be safely discarded by the department or college office.