

STATE OF CONNECTICUT RECORDS RETENTION SCHEDULE  
S5: HIGHER EDUCATION RECORDS

(Revised: 07/2011)



STATE OF CONNECTICUT  
Connecticut State Library  
Office of the Public Records Administrator  
231 Capitol Avenue, Hartford, CT 06106  
[www.cslib.org/publicrecords](http://www.cslib.org/publicrecords)

1. **SCOPE:** This schedule lists records common to higher educational institutions. It applies to State agencies within the Executive department, as well as some quasi-public agencies and political subdivisions of the State.
2. **AUTHORITY:** The Office of the Public Records Administrator issues this retention schedule under the authority granted by §11-8 and §11-8a of the *General Statutes of Connecticut*.
3. **SUPERSEDEANCE:** This schedule supersedes *State Agencies' Records Retention Schedule S5: Higher Education Records* (Revised: 01/2010).
4. **PUBLIC RECORD:** "'Public records or files' means any recorded data or information relating to the conduct of the public's business prepared, owned, used, received or retained by a public agency, or to which a public agency is entitled to receive a copy by law or contract under section 1-218, whether such data or information be handwritten, typed, tape-recorded, printed, photostated, photographed or recorded by any other method." See [www.cslib.org/publicrecords/opraforms.htm#guidelines](http://www.cslib.org/publicrecords/opraforms.htm#guidelines) for further records management definitions. [Source: CGS §1-200(5).]
5. **OFFICIAL RECORD COPY:** The retention requirements apply to the official record copy, which is the "original or official copy of a record that is retained for legal, operational, or historical purposes." Note: in accordance with CGS §11-8a(c), "operational" includes administrative and fiscal value. [Source: *Glossary of Records and Information Management Terms, 3<sup>rd</sup> Edition*, ARMA International.]
6. **NON-RECORD:** "Item that is not usually included within the scope of official records." Examples of non-records are extra (duplicate) copies kept only for convenience, reference materials, and blank forms. [Source: *Glossary, 3<sup>rd</sup> ed.*]
7. **RECORDS SERIES:** Records on this schedule are arranged by records series, which is "a group of related records filed/used together as a unit and evaluated as a unit for retention purposes (e.g., a personnel file consisting of an application, reference letters, benefit forms, etc.)." [Source: *Glossary, 3<sup>rd</sup> ed.*]
8. **RECORDS CUSTODIAN:** "An office designated to maintain the record or official copy of a particular record in an organization." [Source: *Glossary, 3<sup>rd</sup> ed.*]
9. **RETENTION PERIODS:** Retention periods listed on this schedule are based on the records' administrative, fiscal, legal, and research values, as well as statutory or regulatory requirements. In most instances the established period sets the retention requirement. However, some records have maximum retention periods set by Federal or State statutes or regulations and must be destroyed at the end of the retention period. Please note that any statute or regulation cited in the retention column in brackets indicates the legal retention requirement for that records series.  
  
If a records series states, "Permanent / Archival," the agency should transfer the records to the Connecticut State Archives or an approved archival repository. If a records series states, "May contain historical value," the agency should contact the Connecticut State Archives for archival review before disposition of the records. Not all such records will be determined to be archival; conversely, some records without this statement might have archival value.
10. **FORMAT:** Retention periods listed on this schedule apply to the records in paper, electronic, or other format. The records custodian must be able to retrieve and interpret the data for the minimum retention period.

## State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 2 of 17

11. **DISPOSITION:** This schedule is used concurrently with the *Records Disposition Authorization* (Form RC-108), which is used to request permission to dispose of records that have met their retention period. The agency Records Management Liaison Officer (RMLO), the State Archivist, and the Public Records Administrator must sign the authorization form *prior* to the destruction of public records. The Office of the Public Records Administrator cannot grant continuing approval to destroy records on an ongoing basis. No public record may be destroyed if there are pending or active Freedom of Information Act (FOIA) requests; litigation; investigations; audits; or other cases, claims, or actions. Note that if there is a destruction hold placed on a record, the retention period does not change and that once the hold is lifted, the record may be destroyed after receipt of the signed Form RC-108.  
**DISPOSITION DUE TO REFORMATTING:** Custodians may request permission to dispose of original records that have been imaged provided the retention period is ten (10) years or less and the agency has submitted a *Certificate of Compliance* in accordance with the State Library's *Standards for the Use of Imaging Technology for Storage, Retrieval, and Disposition of Public Records*. Likewise, custodians may request permission to dispose of original records that have been microfilmed provided the agency has submitted a *Certificate of Compliance* in accordance with the State Library's *Required Minimum Microfilming Standards for Public Records*.
12. **AUDIT REQUIREMENTS:** Under the Single Audit Act of 1984 (31 USC 7501), audit requirements apply to Federal, State, and Local programs. The retention requirement, "XX years, or until audited, whichever is later," requires further explanation. In most instances 'audit' refers to the general agency audit conducted by the State Auditors of Public Accounts or the general town or municipal audit conducted by an outside auditing agency, unless otherwise noted. The specific record itself may or may not have been examined as part of the audit process. The requirement of "until audited" is fulfilled when the official audit report is issued. The auditors may recommend that certain records be corrected. Such records, even when they meet retention requirements, should be retained during the period that review is pending.
13. **OBSOLETE RECORDS:** Records designated as "OBSOLETE" or "SERIES CLOSED" are no longer created or received in the normal course of business. Records custodians should request approval for the appropriate disposition of any records so designated as soon as the retention period has passed.
14. **FOIA DISCLOSURE:** This retention schedule governs the retention of records – not the public disclosure of records. See CGS §1-210(b) for records that are exempt from public disclosure under the Freedom of Information Act (FOIA).
15. **FERPA RECORDS:** Pursuant to 20 USC §1232(g) and 34 CFR §99, the *Family Educational Rights and Privacy Act* (FERPA) defines "education records" as "those records that are (1) directly related to a student and (2) maintained by an educational agency or institution or by a party acting for the agency or institution." Exceptions include (1) personal notes kept in the maker's sole possession, (2) certain campus law enforcement records, (3) alumni records, and (4) certain medical records used only for treatment purposes. Thus, with few exceptions, almost any record about a student must be handled in compliance with FERPA. When the stated retention period is "life of student file or until terminated by the student," the retention period of the FERPA document is the same as the retention period for the student record to which it pertains. Note that if the retention period for the student record is permanent, then the retention period for the associated FERPA document is also permanent.

**SECTIONS**

- A. ACCREDITATION RECORDS
- B. ATHLETICS RECORDS
- C. CAREER SERVICES RECORDS
- D. FEDERAL DISCLOSURE RECORDS
- E. FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) DISCLOSURE RECORDS
- F. INSTITUTIONAL RECORDS
- G. RESIDENCE / HOUSING RECORDS
- H. STUDENT ADMISSIONS RECORDS
- I. STUDENT DISCIPLINARY RECORDS
- J. STUDENT FINANCIAL AID RECORDS
- K. STUDENT RECORDS

Series #	Records Series Title	Description	Retention	Disposition	Notes
<b>A. ACCREDITATION RECORDS</b>					
(S1-015)	<b>Accreditation Records</b>	This series documents the accreditation process from accrediting and regulatory bodies. Including but not limited to: data; correspondence; other supporting documentation; reports received from study committees of accrediting associations; and suggestions and recommendations concerning organizational structure and administration.	5 years from date accreditation granted, or until next accreditation, whichever is later	Destroy after receipt of signed Form RC-108	Applies to accreditation at the program, department, and institutional levels.
<b>B. ATHLETICS RECORDS</b>					
(S5-090)	<b>Athletic Participation Records</b>	This series documents <i>Athletic Participation / Equity in Athletics Disclosure Act</i> (EADA) data, which is disclosed annually to students and other required parties.	3 years from annual required disclosure date [34 CFR §668]	Destroy after receipt of signed Form RC-108	Annual required disclosure date is October 15 <sup>th</sup> .
S5-030	<b>Competition Records</b>	This series documents the practice, playing, and attendance of competitions, games, and sporting events. Including but not limited to: schedules; scrapbooks; audio / video recordings; sports history; memorabilia; and related correspondence.	2 years from date of event	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 4 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
S5-040	<b>Recruiting Records</b>	This series documents recruitment and eligibility of students for participation in athletics. Including but not limited to: official visit of prospective athletes; student-athletes' affirmation of eligibility; and national letters of intent.	5 years, or end of eligibility, whichever is longer	Destroy after receipt of signed Form RC-108	
S5-050	<b>Scheduling Records</b>	This series documents competition schedules between other institutions. Including but not limited to: correspondence; and final schedules.	6 years from date of event	Destroy after receipt of signed Form RC-108	
S5-055	<b>Student Athlete Drug Testing Records</b>	This series documents the drug and alcohol testing of student athletes. Including but not limited to: lab reports; interpretations; related documentation; and related correspondence.	5 years, or end of eligibility, whichever is longer	Destroy after receipt of signed Form RC-108	
<b>C. CAREER SERVICES RECORDS</b>					
S5-060	<b>Employer Records</b>	This series documents information on potential employment for graduates of institution. Including but not limited to: job descriptions; company information; contact information; and job qualifications.	2 years from end of academic year	Destroy after receipt of signed Form RC-108	
S5-070	<b>Internship Records</b>	This series documents internships, practicum, cooperative education, student teaching, and field experience.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-080	<b>Student Career Placement and Planning Records</b>	This series documents assistance provided to students in planning career goals and objectives. Including but not limited to: résumés; cover letters; career goals; and academic credentials.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 5 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>D. FEDERAL DISCLOSURE RECORDS</b>					
Pursuant to 34 CFR §668, the 1998 <i>Amendments to the Higher Education Act of 1965</i> (HEA) and <i>Student Assistant General Provisions</i> require institutions to retain records developed in compliance with the <i>Campus Crime, Student Right-to-Know Act</i> , and <i>Athletic Participation / Equity in Athletics Disclosure Act</i> (EADA) requirements. These records should be established and disclosed annually to students and other required parties.					
<b>S5-090</b>	<b>Athletic Participation Records</b>	This series documents <i>Athletic Participation / Equity in Athletics Disclosure Act</i> (EADA) data, which is disclosed annually to students and other required parties.	3 years from annual required disclosure date [34 CFR §668]	Destroy after receipt of signed Form RC-108	Annual required disclosure date is October 15 <sup>th</sup> .
<b>S5-100</b>	<b>Crime Statistics and Security Report Records</b>	This series documents information related to campus crime, annual <i>CLERY Reports, Drug-Free Schools and Communities Act</i> (DFSCA) information, and <i>Security Protocol Plans</i> (CGS §10a-156a). Including but not limited to: institutional policies and proceedings for reporting crimes and disciplinary actions; crime statistics; education programs; and security and access policies for campus facilities.	3 years from annual required disclosure date [20 USC §1092]	Destroy after receipt of signed Form RC-108	<i>CLERY</i> is the <i>Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act</i> .
<b>S5-110</b>	<b>Graduation and Completion Records</b>	This series documents graduation, completion, and transfer-out data disclosed to students and other required parties.	3 years from annual required disclosure date	Destroy after receipt of signed Form RC-108	Annual required disclosure date is July 1 <sup>st</sup> .
<b>S5-120</b>	<b>Institutional Information Records</b>	This series documents institutional information disclosed annually to students and the Federal government. Including but not limited to: cost of attendance; withdrawal procedures; refund policy; and other items not covered in faculty, staff, and student handbooks.	3 years from annual disclosure date	Destroy after receipt of signed Form RC-108	Annual required disclosure date is October 15 <sup>th</sup> .

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 6 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
S5-130	<b>Veterans Administration Certifications</b>	This series documents information related to certifications for veterans. Including but not limited to: applications for benefits; correspondence and requests for certification; birth certificates for children of deceased veterans; and notices of benefits for guard and reservists.	3 years from date of graduation or date of last enrollment [38 CFR §21.4209]	Destroy after receipt of signed Form RC-108	

**E. FAMILY EDUCATIONAL RIGHTS AND PRIVACY ACT (FERPA) DISCLOSURE RECORDS**

Pursuant to 20 USC §1232(g) and 34 CFR §99, the *Family Educational Rights and Privacy Act* (FERPA) defines “education records” as “those records that are (1) directly related to a student and (2) maintained by an educational agency or institution or by a party acting for the agency or institution.” Exceptions include (1) personal notes kept in the maker's sole possession, (2) certain campus law enforcement records, (3) alumni records, and (4) certain medical records used only for treatment purposes. Thus, with few exceptions, almost any record about a student must be handled in compliance with FERPA. When the stated retention period is "life of student file or until terminated by the student," the retention period of the FERPA document is the same as the retention period for the student record to which it pertains. Note that if the retention period for the student record is permanent, then the retention period for the associated FERPA document is also permanent.

S5-140	<b>Annual Notice of Rights</b>	This series documents FERPA annual notices of rights to students regarding access to the student's education records.	Until superseded	Destroy after receipt of signed Form RC-108	
S5-150	<b>Requests for Formal Hearings</b>	This series documents requests by students for formal hearings concerning the student's education records.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-160	<b>Requests and Disclosures of Personally Identifiable Information</b>	This series documents requests and disclosures of personally identifiable information contained in the student's education records.	Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	
S5-170	<b>Student Requests for Nondisclosure of Directory Information</b>	This series documents student requests for nondisclosure of directory information, which is defined as that information which would not generally be considered harmful or an invasion of privacy if disclosed.	Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	See 34 CFR §99.3 for list of directory information.

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 7 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S5-180</b>	<b>Student Statements on Content of Records Regarding Hearing Panel Decisions</b>	This series documents student statements on content of records regarding hearing panel decision concerning the student's education records.	Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	
<b>S5-190</b>	<b>Student's Written Consent for Records Disclosure</b>	This series documents the student's written consent for records disclosure of the student's education records.	Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	
<b>S5-200</b>	<b>Waivers for Rights of Access</b>	This series documents waivers for rights of access of the student's education records.	Life of student file or until terminated by the student	Destroy after receipt of signed Form RC-108	
<b>S5-210</b>	<b>Written Decisions of Hearing Panels</b>	This series documents written decisions of hearing panels concerning the student's education records.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>F. INSTITUTIONAL RECORDS</b>					
<b>S5-220</b>	<b>Alumni Relations Records</b>	This series documents alumni and fundraising efforts. Including but not limited to: demographic information about alumni; solicitation plans; donation histories; and related records.	3 years, or until audited, whichever is later	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
<b>S5-230</b>	<b>Catalogs</b>	Consists of the official record copy of the university or college catalog, which is used to present information about the institution (e.g., course descriptions, schedule of classes, and academic calendar).	Permanent	Maintain in agency	
<b>S5-240</b>	<b>Commencement Programs</b>	Consists of the official record copy of commencement programs for graduation ceremonies and related graduation lists.	Permanent	Maintain in agency	

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 8 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
S5-243	<b>Evaluations, Course / Instructor</b>	This series documents evaluations by students of courses / instructors. Including but not limited to: completed evaluations; survey sheets; student comments; and faculty or course identifying materials.	1 year from end of semester	Destroy after receipt of signed Form RC-108	
S5-245	<b>Faculty Consulting Records</b>	This series documents the review process for faculty participation in consulting for outside professional activities (i.e., not acting in their official capacity as a State employee) pursuant to CGS §1-84(r). Including but not limited to: requests for permission and supporting documentation; records of violation / noncompliance; and related correspondence.	5 years	Destroy after receipt of signed Form RC-108	
S5-250	<b>Handbooks – Faculty, Staff, and Student</b>	Consists of the official record copy of faculty, staff, and student handbooks, which outline rules, regulations, overview of institution, by-laws, and overview of tenure.	Permanent	Maintain in agency	
S5-260	<b>Honorary Societies Records</b>	This series documents activities of department, college, and university-related honorary societies. (NOTE: does not include non-university affiliated societies.)	5 years from end of academic year	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
S5-265	<b>Intellectual Property Records</b>	This series documents creation and maintenance of intellectual property developed by faculty and staff. Including but not limited to: copyright; patents; trademarks; publicity rights; performance rights; and rights against unfair competition.	Permanent	Maintain in agency	See S3 for related fiscal records, such as contracts and other legally binding agreements.



**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 9 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S5-270</b>	<b>Lab School and Child Care Records</b>	This series documents activities of lab schools for pre-school children. Includes university run child care and family resource centers.	4 years from date licensed or 4 years from end of academic year if program is exempt from being licensed	Destroy after receipt of signed Form RC-108	
<b>S5-275</b>	<b>Promotion / Tenure Records</b>	This series documents the review process of promotion and tenure for faculty or professional staff members. Including but not limited to: applications; evaluative materials (e.g., publications, performance videos, and works of art); and written recommendations.	Until employee's review period is completed and letter of decision is issued	Destroy after receipt of signed Form RC-108	Promotion and tenure files may be maintained separately from the employee personnel file, however, the final appointment letter should be maintained in the employee personnel or professional file as appropriate. Pursuant to CGS §10a-154a, these records are not subject to disclosure under the Freedom of Information Act (CGS §1-210), unless such faculty or professional staff member consents in writing to the release of the records.
<b>S5-277</b>	<b>Residency / Fellowship Records</b>	This series documents participation in residency / fellowship programs (e.g., medical residency). Records may also be used to verify completion of residency or fellowship education requirements. Including but not limited to: requests for verification of training; release forms; agreements; assignment authorizations; evaluations; performance summaries; rotation assignments; and certifications of completion.	30 years from end of residency / fellowship	Destroy after receipt of signed Form RC-108	See Section H and Section I for admissions records. See Section J for disciplinary records.
<b>S5-280</b>	<b>Schedules of Classes</b>	Consists of the official record copy of institutional schedules and directories of classes.	Permanent	Maintain in agency	

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 10 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
S5-290	<b>Statistics, Institutional</b>	This series documents statistical information about the institution, including degree, enrollment, grade, and race / ethnicity data.	Permanent	Maintain in agency	
S5-300	<b>Student Government Records</b>	This series documents activities of student governing associations. Including but not limited to: minutes; elections; reports; and related correspondence.	5 years from end of academic year	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
S5-310	<b>Student Organization Records</b>	This series documents activities of student associations and student organizations affiliated with the institution. Including but not limited to: minutes; elections; reports; and related correspondence.	5 years from end of academic year	Destroy after receipt of signed Form RC-108	May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.
S5-320	<b>Syllabi, Course</b>	Consists of the official record copy of course syllabi maintained by department or university.	1 year from end of semester	Destroy after receipt of signed Form RC-108	Instructor copy of syllabi may be destroyed at will provided the university maintains the official record copy. May have historical value – contact institutional archives or State Archivist prior to submission of Form RC-108.

**G. RESIDENCE / HOUSING RECORDS**

S5-340	<b>Room Inspections and Assignments</b>	This series documents the processing of residents, inspection of rooms, and status of room and housing assignments for on-campus housing. Including but not limited to: check-in and -out forms; room condition forms; and inspection reports.	1 year from end of semester	Destroy after receipt of signed Form RC-108	
--------	---	--	-----------------------------	---	--

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 11 of 17**

Series #	Records Series Title	Description	Retention	Disposition	Notes
----------	----------------------	-------------	-----------	-------------	-------

**H. STUDENT ADMISSIONS RECORDS – APPLICANTS WHO DO NOT ENROLL**

The *Family Education Rights and Privacy Act* (FERPA) (20 USC §1232g / 34 CFR §99) **does not** apply to records for applicants who **do not** enroll (whether accepted or rejected) at the institution.

<b>S5-350</b>	<b>Student Admissions Records – Not Enrolled</b>	This series documents the admissions process for applicants who apply for admission, but do not enroll at the institution. Including but not limited to: applications for admission and supporting documentation (e.g., advanced placement records, entrance examinations, international student documents, letters of recommendation, medical records, military records, placement scores, residency classification forms, and transcripts); interview records; acceptance / denial letters; and related correspondence.	2 years from date of application	Destroy after receipt of signed Form RC-108	Some documentation from other countries may be originals and therefore difficult or impossible for the applicant to replace; the records custodian may want to return these documents to the applicant after receipt of signed Form RC-108.
---------------	--	---	----------------------------------	---	---

**I. STUDENT ADMISSIONS RECORDS – APPLICANTS WHO ENROLL**

The *Family Education Rights and Privacy Act* (FERPA) (20 USC §1232g / 34 CFR §99) applies to students who **enroll and attend** the institution.

<b>S5-470</b>	<b>Student Admissions Records – Enrolled</b>	This series documents the admissions process for applicants who apply for admission, and enroll at the institution. Including but not limited to: applications for admission and supporting documentation (e.g., advanced placement records, entrance examinations, international student documents, military records, placement scores, residency classification forms, and transcripts); acceptance / denial letters; and related correspondence.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	Educational institutions that participate in Federal, State, and/or private student loan programs must retain student admission and placement records for “5 years from date of graduation or date of last enrollment (withdrawal).” Some documents from other countries may be originals and therefore difficult or impossible for the applicant to replace; the record custodian may want to return these documents to the applicant after receipt of signed Form RC-108.
---------------	--	---	--	---	---

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 12 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S5-530</b>	<b>Student Admissions Records – Enrolled – Interview Records and Letters of Recommendation</b>	This series documents interviews and letters of recommendation for applicants who apply for admission and enroll at the institution. Including but not limited to: Interview records; letters of recommendation; and related correspondence.	Until admitted	Destroy after receipt of signed Form RC-108	Pursuant to 20 USC §1232g, letters of recommendation not accompanied by waivers, and retained beyond their intended use, may be viewed by the student. It is recommended that these letters be destroyed after the student is admitted.
<b>S5-570</b>	<b>Student Admissions Records – Enrolled – Recruitment Records</b>	This series documents records used to recruit applicants who apply for admission and enroll at the institution. Including but not limited to: advertising materials; sales materials; and marketing and enrollment materials.	3 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	Pursuant to 38 CFR §21.4209, Department of Veterans Affairs requires that recruitment materials (advertising, sales, or enrollment materials) for veterans be retained for 3 years from date of last enrollment.
<b>J. STUDENT DISCIPLINARY RECORDS</b>					
<b>S5-600</b>	<b>Disciplinary Files – Action Less Than Expulsion</b>	This series documents disciplinary actions resulting in an action less than expulsion. Including but not limited to: incident reports; academic transcripts; witness statements; discipline history; incident database records; and related correspondence.	5 years from date of resolution	Destroy after receipt of signed Form RC-108	Disciplinary actions should not be part of the academic record or transcript.
<b>S5-610</b>	<b>Disciplinary Files – Expulsion</b>	This series documents disciplinary actions resulting in expulsion. Including but not limited to: incident reports; academic transcripts; witness statements; discipline history; incident database records; and related correspondence.	Permanent	Maintain in agency	
<b>S5-620</b>	<b>Disciplinary Files – Recordings</b>	This series consists of audio / video recordings of disciplinary hearings.	Until end of appeals process	Destroy after receipt of signed Form RC-108	

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 13 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
S5-630	<b>Student Honor Code Records</b>	This series documents the actions, findings and recommendations of student honor code / council hearings. Including but not limited to: hearing records; results; and related correspondence.	3 years from end of academic year	Destroy after receipt of signed Form RC-108	
<b>K. STUDENT FINANCIAL AID RECORDS</b>					
Pursuant to the 1998 <i>Amendments to the Higher Education Act of 1965</i> and <i>Student Assistant General Provisions</i> (34 CFR §668), Title IV institutions are required to maintain and retain records developed in compliance with the <i>Campus Crime, Student Right-to-Know</i> , and <i>Athletic Participation / EADA</i> disclosure requirements.					
S5-640	<b>Student Financial Aid Records</b>	This series documents campus-based aid (e.g., Federal Work Study, Perkins loan, and Supplemental Educational Opportunity Grants) and Federal student financial aid program records (e.g., Direct PLUS loans, Federal Family Education Loans, Pell grants, Stafford loans, and Ford Federal Direct Loans).	3 years from end of award year [34 CFR §668.24]	Destroy after receipt of signed Form RC-108	
<b>L. STUDENT RECORDS</b>					
S5-650	<b>Absence Notice Records</b>	This series documents student absences from class (e.g., medical emergency, jury duty, or religious observance).	Until end of semester	Destroy after receipt of signed Form RC-108	
S5-660	<b>Academic Action Authorizations</b>	This series documents student dismissals and other related actions.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	See section J for student disciplinary records.

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 14 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S5-665</b>	<b>Academic Adjustment Records, Students with Disabilities</b>	This series documents student requests for academic adjustments based on qualifying disabilities. Including but not limited to: intake forms; supporting documentation (medical records, psychological reports, psychological evaluations, educational evaluations, letters of academic adjustments from other education institutions); academic adjustment request forms; summaries of documentation review; histories of academic adjustments; approvals / denials of academic adjustment requests; and related correspondence.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>S5-670</b>	<b>Academic Counseling Records</b>	This series documents academic counseling activities. Including but not limited to: group files; test results; peer group leader program; pre-professional student files; student history files; and tutor applications.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>S5-680</b>	<b>Academic Progress Records</b>	This series documents student academic progress (department / school files). Including but not limited to: activity reports; copies of partial transcripts; evidence of date of graduation; and enrollment verifications.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>S5-690</b>	<b>Academic Record, Student</b>	Consists of the official record copy of the student academic record. Including but not limited to: narrative evaluations; and competency assessments.	Permanent	Maintain in agency	Although student records maintained by medical and dental schools are usually an assessment of student progress, such records are included in the same series as the student academic record.

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 15 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S5-695</b>	<b>Clinical Evaluations, Student</b>	This series documents academic evaluations of students in clinical settings (e.g., dental and nursing). Including but not limited to: placement descriptions; supervision training plans; activity or progress reports; commendations; remediation letters and related correspondence; and clinical exams.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	See S5-070 for Internship Records and S4-030 for Clinical Supervision Records.
<b>S5-697</b>	<b>Course Registration Records</b>	This series documents course registrations (e.g., pass / fail, audit, credit, and no credit classes) and course changes (e.g., add, drop, and withdrawal).	No requirement	Destroy	
<b>S5-700</b>	<b>Course Substitution Records</b>	This series documents requests for substitution of courses towards degree.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>S5-710</b>	<b>Credit by Examination Files</b>	This series documents placement test records and credit by examination records (e.g., CLEP [College Level Examination Program] records).	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>S5-720</b>	<b>Dissertations and Theses</b>	This series consists of dissertations and theses written in partial fulfillment of graduate or undergraduate degree requirements. Including but not limited to: doctoral dissertations, master's theses, and honors theses.	Permanent	Maintain in agency	
<b>S5-740</b>	<b>Final Grades</b>	This series documents students' final grades, which contains names of all students officially registered for a course and their respective grade.	Permanent	Maintain in agency	
<b>S5-750</b>	<b>Grade Change Records</b>	This series documents grade change records. Including but not limited to: appeals of grades; requests to change grades; and records of grade review boards.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	Some indication that the grade has been changed must be retained permanently. See S5-740 for the final grade.

**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 16 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
<b>S5-760</b>	<b>Grade Books, Faculty</b>	This series consists of students' grades maintained by faculty members.	5 years from end of semester	Destroy after receipt of signed Form RC-108	
<b>S5-770</b>	<b>Grade Progress Reports</b>	This series consists of grade progress reports reported by class.	No requirement	Destroy	
<b>S5-780</b>	<b>Graded Coursework and Final Examinations</b>	This series documents graded coursework and final examinations that were not returned to the student. Including but not limited to: assignments; essays; exams; and other student projects.	No requirement	Destroy	
<b>S5-790</b>	<b>Graduation Records</b>	This series documents graduation of students. Including but not limited to: applications and related materials used to apply for graduation; forms to authorize graduation; and audits conducted to verify graduation.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>S5-800</b>	<b>Hold or Encumbrance Authorization Records</b>	This series documents authorizations to place or remove a hold or encumbrance from a student's account to prohibit the student from registering for classes, releasing transcripts, or delay reception of diplomas.	Until date hold or encumbrance released	Destroy after receipt of signed Form RC-108	The release should be noted on the student academic record.
<b>S5-830</b>	<b>Independent Study Records</b>	This series documents independent study activities. Including but not limited to: request forms; and authorizations.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>(S5-070)</b>	<b>Internship Records</b>	This series documents internships, practicum, cooperative education, student teaching, and field experience.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
<b>S5-840</b>	<b>Major / Curriculum Records</b>	This series consists of forms and authorizations to declare a major, change a major, or to set up curriculum studies.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	



**State of Connecticut Records Retention Schedule S5: Higher Education Records (Revised: 07/2011), Page 17 of 17**

<b>Series #</b>	<b>Records Series Title</b>	<b>Description</b>	<b>Retention</b>	<b>Disposition</b>	<b>Notes</b>
S5-850	<b>Name Change Records</b>	This series documents authorizations of name changes for current students.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	
S5-860	<b>Personal Data Information Records</b>	This series documents personal information about the student (e.g., name, address, and phone number, for use by the institution).	Until superseded or no longer useful	Destroy after receipt of signed Form RC-108	
S5-880	<b>Student Employment Records</b>	This series consists of the employee file for student employees. Including but not limited to: applications; résumés; CVs; transcripts; interview materials; performance evaluations / reviews; and related documents.	5 years from date of termination	Destroy after receipt of signed Form RC-108	Although state employee personnel files are maintained for "Duration of employment plus 30 years," student employment files are maintained for "5 years from the date of termination" <b>except</b> that a record of the student's employment must be retained for longevity purposes.
S5-890	<b>Transcripts, Official</b>	This series consists of students' undergraduate or graduate academic transcript.	Permanent	Maintain in agency	
S5-900	<b>Transcripts, Requests for</b>	This series documents requests for transcripts. Including but not limited to: requests for transcripts; authorizations; and related correspondence.	1 year from date of request	Destroy after receipt of signed Form RC-108	
S5-910	<b>Transfer Credit Records</b>	This series documents requests to transfer credit. Including but not limited to: transfer credit requests; and authorizations / denials.	5 years from date of graduation or date of last enrollment	Destroy after receipt of signed Form RC-108	