

**LEHMAN COLLEGE: DEPARTMENTAL RETENTION SCHEDULE 9/29/2014**

**SPEECH, LANGUAGE & HEARING SCIENCES**

<b>Item</b>	<b>Record Series Title</b>	<b>Description / Examples</b>	<b>Retention</b>	<b>CUNY Schedule Reference</b>
SHC-1	Meeting Records	For departmental and committee meetings, including all records accepted as part of minutes  Agendas, documents distributed at meetings, ballots, background material	Permanent  1 year	General 1[1]  General 3[3]
SHC-2	Affiliation Agreements	Educational partnership agreements between College and outside physicians and facilities	6 years after expiration or termination, or 6 years after final payment under contract, whichever is longer	General 6[6]
SHC-3	Confidentiality Agreements	Signed by anyone who works at the Speech and Hearing Center	6 years after expiration or termination of agreement	General 6[6]

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SHC-4	Clinic Manual/ Graduate Handbook	<p>Manuals of procedures, policies, or standards pertaining to faculty, staff, and student conduct and departmental expectations and requirements</p> <p>Signed acknowledgement by faculty/staff</p> <p>Signed acknowledgment by student</p>	<p>Permanent</p> <p>3 years after attestation superseded, or upon termination of employment</p> <p>6 years after graduation or date of last attendance</p>	<p>General 9[9] a</p> <p>Personnel 24[743]</p> <p>Students 1[121] c</p>
SHC-5	Brochures/Flyers	Printed materials distributed by department on workshops, special programs, and other general information about department	While Needed	General 11[11] b

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SHC-6	Survey Records	Survey results, including official copy of survey and permission forms  Completed survey forms	6 years  Until survey results prepared	General 15[15] a  General 15[15] b
SHC-7	Non-Fiscal Audit Records-- <i>Internal or non-fiscal audits completed by College or CUNY Central Office</i>	Reports and recommendations resulting from investigation  Background materials and supporting documentation	Permanent  6 years	General 17[17] a  General 17[17] b
SHC-8	Internal Information Records	Lists, logs, inventories, flow charts, or other records created by department solely to disseminate information or for similar administrative purposes, and are not part of an item listed elsewhere in this Schedule	While Needed	General 18[18], 20[20], and 25[25]

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SHC-9	Reports--Annual/ Special	Annual or special reports containing significant evidence of College policy, procedures, plans, or directions	Permanent	General 23[23] a
SHC-10	Accreditation Files-- Significant	Significant correspondence, reports, questionnaires, self-study records and reports, guides, and related documents transmitted between the College and accrediting bodies  Certification, licensing, and accreditation records covering review and approval by state or federal agency or professional review organization to operate facility or program, to conduct tests, or to perform specified work, including lists of permissible procedures or tests	Permanent  7 years after superseded, revoked, or no longer valid	Academic Affairs 1[53] a  Health Services 1[356]
SHC-11	Accreditation Files-- Routine	Routine correspondence and transmittal records, drafts of guides and reports, and fiscal records	6 years after accreditation approved or denied	Academic Affairs 1[53] b

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SHC-12	Admissions Folders (Graduate Program)-- <i>Applications and supporting documentation when held separately from Student Folders</i>	Admitted and enrolled  <b>Not</b> accepted, or accepted but <b>does not</b> register  Transcripts and supporting documentation for students who did not complete the application process	6 years after graduation or date of last attendance  2 years after date of exclusion or end of permitted enrollment period for accepted applicants  While Needed	Admissions 1[60] a and Students 1[121] h  Admissions 1[60] b  General 10[10] c
SHC-13	Academic Advisement Records	Files for students who receive academic advisement	6 years after graduation or date of last attendance	Counseling Services 1[72]
SHC-14	External Audit Records	Audits completed by external health entities	7 years after superseded, revoked, or no longer valid	Health Services 1[356]

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SHC-15	Appointment Records/ Client Schedules	Appointment records, including slips, return cards, sign-in sheets, and clinic schedules kept by facility	Until superseded or obsolete	Health Services 3[359]
SHC-16	Diagnostic Records	Screening and assessment records and referrals for persons evaluated but <b>not</b> treated by facility or program	3 years	Health Services 4[360]
SHC-17	Client Records-- <i>Records of students, faculty, staff, or patients <b>other than</b> students, faculty, or staff seen by the Center, including but not limited to basic patient data, complaint, what treatment (if any) was given, referrals, video sessions, and date seen</i>	Intake/treatment records outlining services given on a particular visit for students  Intake/treatment records outlining services given on a particular visit for faculty/staff  Intake/treatment records outlining services given on a particular visit for patients <b>other than</b> students, faculty, or staff	6 years after last entry  3 years after termination of employment  6 years after discharge or last contact, or until patient attains age 21, whichever is longer	Health Services 18[98]  Personnel 20[910]  Not Included

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SHC-18	Calibration Records	Individual report of internal or external calibration tests	As long as equipment or instrument remains in use and test results using equipment or instrument are retained	Health Services 21[391]
SHC-19	Course Syllabi	Syllabi for courses offered by department	10 years, to comply with academic requirements	Instruction 2[106]
SHC-20	Instructional Materials	Course and testing materials developed by instructor, including lab manuals	While Needed	Instruction 2[106]
SHC-21	Instructor's Grade Records	Grade books, test scores, marking sheets, and other detailed grading information	2 years	Instruction 3[107]

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SHC-22	Student Records	Exams, papers, assignments submitted by students, <b>except</b> comprehensive exams, theses and dissertation	2 years after course completed, to preserve records in case of appeal	Instruction 6[110]
		Records of students' clinical work, internships, and/or externships, including but not limited to duties, tasks, evaluation data, and attendance records	6 years after graduation of date of last attendance	Students 1[121] c
		Knowledge and Skills Acquisition Forms (KASA) tracking students' outcomes while enrolled in program	6 years after graduation or date of last attendance	Students 1[121] c

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SHC-23	Faculty Evaluations (When <b>not</b> part of the Personnel File)	Evaluations of adjunct faculty by students	3 years	Instruction 9[113] a
		Evaluations of full time faculty by students	7 years	Instruction 9[113] a
		Evaluation of faculty by individuals <b>other than</b> students, including but not limited to peer observation reports and annual evaluations	6 years after termination of employment	Instruction 9[113] b

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SHC-24	Personnel Records-- Full Time Faculty (Including Confidential Files)	Official copies of personnel files that are <b>not</b> held by Human Resources or the Provost, including but not limited to PAFs, correspondence, appointment/reappointment letters, publications, and any other records <b>not</b> part of the master summary records  Evaluations of full time faculty by students  Evaluation of faculty by individuals <b>other than</b> students, including but not limited to peer observation reports and annual evaluations	6 years after termination of employment, or until transferred to either Human Resources or the Office of the Provost  7 years  6 years after termination of employment	Personnel 1[310] b  Instruction 9[113] a  Instruction 9[113] b
SHC-25	Resumes--Unsolicited	Not related to any advertised or available position	While Needed	General 10[10] c

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SHC-26	Search Records-- <b>Not Hired</b>	Application for employment, including but not limited to resume, correspondence, selection criteria, and interview notes, when applicant <b>not</b> hired	3 years after completion of personnel action, or until forwarded to the Office of Diversity, Compliance and Inclusion	Personnel 36[337] and 37[750]
SHC-27	Externship Records	Records pertaining to participants in externship programs, including but not limited to applications, time sheets, contracts, memoranda of agreement, evaluations forms, field reviews, referral sheets, and resumes	6 years after graduation or date of last attendance	Students 1[121] c
SHC-28	Student Complaint/ Appeal Records	Complaints by students regarding faculty conduct, grades, other matters, including appeal records	6 years after resolution	Students 11[117]

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SHC-29	Student Club Records	Records used to confirm compliance to rules governing club activities, including but not limited to meeting minutes, membership rosters, contact information, and faculty advisor letters; information about club officers, including contact information; event records, including proposals, flyers/brochures, and other organizing records for events; election records, including election dispute records  Bylaws/Constitution	6 years  6 years after superseded or obsolete	Students 19[892]  General 9[9] b

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