

## Request for Records Disposition Authority

Records Schedule Number      DAA-0218-2019-0002  
Schedule Status                 Approved  
  
Agency or Establishment        Joint Chiefs of Staff  
Record Group / Scheduling Group   Records of the U.S. Joint Chiefs of Staff  
Records Schedule applies to     Agency-wide  
Schedule Subject                 1300 Series - Academic Affairs Records  
Internal agency concurrences will be provided      No

Background Information            CJCSM 5760.01A, VOL. II – JOINT STAFF AND COMBATANT COMMAND  
RECORDS MANAGEMENT MANUAL: DISPOSITION SCHEDULE  
1300 SERIES BUCKET – ACADEMIC AFFAIRS

This proposed schedule overview is for the incorporation of a new Information Type/Category into CJCS Manual 5760.01A, Vol. II – 1300 Series: Academic Affairs Records. The records series items as described here are meant to be available for use by any Joint Staff or Combatant Command activity that operates as a school or university or for the purposes of education. That said, it should be noted that these record series items are based on those descriptions and retentions proposed by the National Defense University (NDU).

NDU is a Chairman’s Controlled Activity that falls within the Joint Staff/J-7 Directorate. As such, its records program falls under the supervision and oversight of the Joint Staff Records Officer, in the JS Information Management Division, and the JS/CCMD Records Management records schedule.

These series items have been placed into categories with retentions of 6 months, 3 years, 10 years, and those items that do not fall into any of the above, are known as “exceptions.” Exceptions have their own cut offs and retention information which may or may not be event-driven.

Note that records in the 6 months category (item 1300-01-A, “Short-Term Records”) are not included in this schedule, because they are scheduled by General Records Schedule 5.2, item 010 (Transitory Records). Nevertheless, item 1300-01-A, as scheduled by GRS 5.2, item 010, will be included in the 1300 Series of CJCS Manual

5760.01A, Vol. II, after schedule DAA-0218-2019-0002 is approved. (Item 1300-01-A includes records of requests for official transcripts fulfilled by the University Registrar's Office.)

For the purposes of this schedule, "Academic Year" is defined as the time period when school is in session and generally lasts from 1 July -30 June in any given cycle. This records schedule is written to authorize the disposition of the records in any media (media neutral).

NDU is the Nation's premier Joint Professional Military Education (JPME) provider. Its fundamental purpose is to educate emerging Senior Leaders in the defense and interagency communities at the strategic and operational levels. NDU's primary focus is the provision of JPME, enabled by premier teaching, scholarly research and academic engagement. As an academic institution, NDU operates on the principle of academic freedom. It is a fully accredited University with multiple colleges, institutes, and research centers.

#### Item Count

| Number of Total Disposition Items | Number of Permanent Disposition Items | Number of Temporary Disposition Items | Number of Withdrawn Disposition Items |
|-----------------------------------|---------------------------------------|---------------------------------------|---------------------------------------|
| 30                                | 0                                     | 30                                    | 0                                     |

#### GAO Approval

## Outline of Records Schedule Items for DAA-0218-2019-0002

| Sequence Number |   |
|-----------------|---|
| 1               | <b>CATEGORY – 3 YEARS (-02)</b>   |
| 1.1             | 1300-02-A: Foreign Student Education Credential Verifications<br>Disposition Authority Number: DAA-0218-2019-0002-0002                  |
| 1.2             | 1300-02-B: Academic Action Authorizations<br>Disposition Authority Number: DAA-0218-2019-0002-0003                                      |
| 1.3             | 1300-02-C: Academic Advising Records<br>Disposition Authority Number: DAA-0218-2019-0002-0004   |
| 1.4             | 1300-02-D: Non-Acceptance Admission Decision Letters<br>Disposition Authority Number: DAA-0218-2019-0002-0005                           |
| 1.5             | 1300-02-E: Student Academic Waivers<br>Disposition Authority Number: DAA-0218-2019-0002-0006  |
| 1.6             | 1300-02-F: Academic Program Administrative Records<br>Disposition Authority Number: DAA-0218-2019-0002-0007                             |
| 1.7             | 1300-02-G: Training Forms<br>Disposition Authority Number: DAA-0218-2019-0002-0008  |
| 1.8             | 1300-02-H: Schedule of Classes<br>Disposition Authority Number: DAA-0218-2019-0002-0009   |
| 1.9             | 1300-02-I: Academic Book Order Records<br>Disposition Authority Number: DAA-0218-2019-0002-0010   |
| 2               | <b>CATEGORY – 10 YEARS (-03)</b>  |
| 2.1             | 1300-03-A: Accreditation Documentation<br>Disposition Authority Number: DAA-0218-2019-0002-0011   |
| 2.2             | 1300-03-B: Academic Review Board Records<br>Disposition Authority Number: DAA-0218-2019-0002-0012                                       |
| 2.3             | 1300-03-C: Admission Board Review Records<br>Disposition Authority Number: DAA-0218-2019-0002-0013                                      |
| 2.4             | 1300-03-D: Course Records<br>Disposition Authority Number: DAA-0218-2019-0002-0014  |
| 2.5             | 1300-03-E: Curriculum Development Documentation<br>Disposition Authority Number: DAA-0218-2019-0002-0015                                |
| 2.6             | 1300-03-F: Degree Audit and Application for Graduation Records<br>Disposition Authority Number: DAA-0218-2019-0002-0016                 |
| 2.7             | 1300-03-G: Student Application/Nomination Packages (Enrolled and Non-Enrolled)<br>Disposition Authority Number: DAA-0218-2019-0002-0017 |

|      |  |
|------|--|
| 3    | <b>CATEGORY – EXCEPTIONS (-06)</b>   |
| 3.1  | 1300-06-A: Academic – Memorandum of Understanding (MOU)<br>Disposition Authority Number: DAA-0218-2019-0002-0018   |
| 3.2  | 1300-06-B: Disciplinary Action Documents<br>Disposition Authority Number: DAA-0218-2019-0002-0019  |
| 3.3  | 1300-06-C: Academic Warning<br>Disposition Authority Number: DAA-0218-2019-0002-0020   |
| 3.4  | 1300-06-D: Student Disenrollment<br>Disposition Authority Number: DAA-0218-2019-0002-0021  |
| 3.5  | 1300-06-E: Academic Integrity Violations<br>Disposition Authority Number: DAA-0218-2019-0002-0022  |
| 3.6  | 1300-06-F: Academic Surveys<br>Disposition Authority Number: DAA-0218-2019-0002-0023   |
| 3.7  | 1300-06-G: Academic Reports<br>Disposition Authority Number: DAA-0218-2019-0002-0024   |
| 3.8  | 1300-06-H: Grievance Records<br>Disposition Authority Number: DAA-0218-2019-0002-0025  |
| 3.9  | 1300-06-I: Student Evaluations, Exams/Papers<br>Disposition Authority Number: DAA-0218-2019-0002-0026  |
| 3.10 | 1300-06-J: Department of State DS 2019 - Certificate of Eligibility for Exchange Visitor (J-1) Status<br>Disposition Authority Number: DAA-0218-2019-0002-0027 |
| 3.11 | 1300-06-K: Student Alumni Records<br>Disposition Authority Number: DAA-0218-2019-0002-0028   |
| 3.12 | 1300-06-L: Official Student Academic Records<br>Disposition Authority Number: DAA-0218-2019-0002-0029  |
| 3.13 | 1300-06-M: Master Catalogs/Bulletins/Handbooks<br>Disposition Authority Number: DAA-0218-2019-0002-0030  |
| 3.14 | 1300-06-N: Master Commencement Program<br>Disposition Authority Number: DAA-0218-2019-0002-0031  |

## Records Schedule Items

| Sequence Number |   |
|-----------------|---|
| 1               | <p><b>CATEGORY – 3 YEARS (-02)</b><br/>Records of that document routine administrative and organizational decisions, actions, and processes. Records include, but are not limited to:</p>   |
| 1.1             | <p><b>1300-02-A: Foreign Student Education Credential Verifications</b><br/>Disposition Authority Number      <b>DAA-0218-2019-0002-0002</b></p> <p>Records include, but are not limited to, evaluations of academic credentials from all countries of the world. The evaluations are provided by an independent agency outside the University and the information provided on the final evaluations may contain Personal Identifying Information (PII).</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p> <p>Is this item media neutral?            <b>Yes</b></p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      <b>Yes</b></p> <p>Do any of the records covered by this item exist as structured electronic data?                      <b>Yes</b></p> <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      <b>Cut off at end of academic year.</b></p> <p>Retention Period                      <b>Destroy 3 year(s) after cut off</b></p> <p><b>Additional Information</b></p> <p>GAO Approval                          <b>Not Required</b></p> |
| 1.2             | <p><b>1300-02-B: Academic Action Authorizations</b><br/>Disposition Authority Number      <b>DAA-0218-2019-0002-0003</b></p> <p>Records include, but are not limited to, authorizations to change the student database (communicated via formal correspondence) which include email or memorandums requesting changes to the University Student Information System. Examples include course changes e.g., Dropping, Adding, Auditing courses, and grade appeals.</p> <p>Final Disposition                      <b>Temporary</b></p> <p>Item Status                              <b>Active</b></p>   |

|   |   |                                  |
|---|---|----------------------------------|
| 1.3   | Is this item media neutral?   | Yes                              |
|   | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?   | Yes                              |
|   | Do any of the records covered by this item exist as structured electronic data?   | Yes                              |
|   | <b>Disposition Instruction</b>  |                                  |
|   | Cutoff Instruction  | Cut off at end of academic year. |
|   | Retention Period  | Destroy 3 year(s) after cut off  |
|   | <b>Additional Information</b>   |                                  |
|   | GAO Approval  | Not Required                     |
|   | <b>1300-02-C: Academic Advising Records</b>   |                                  |
|   | Disposition Authority Number  | DAA-0218-2019-0002-0004          |
|   | Records of communication between academic advisor and student. These records document assistance given to students in choosing educational career objectives commensurate with their interests and abilities and in monitoring progress toward these goals. Records include, but are not limited to: --Comprehensive exam results --Correspondence --Recommendation letters |                                  |
|   | Final Disposition   | Temporary                        |
|   | Item Status   | Active                           |
|   | Is this item media neutral?   | Yes                              |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes   |                                  |
| Do any of the records covered by this item exist as structured electronic data?   | Yes   |                                  |
| <b>Disposition Instruction</b>  |   |                                  |
| Cutoff Instruction  | Cut off at end of academic year.  |                                  |
| Retention Period  | Destroy 3 year(s) after cut off   |                                  |
| <b>Additional Information</b>   |   |                                  |
| GAO Approval  | Not Required  |                                  |
| 1.4   | <b>1300-02-D: Non-Acceptance Admission Decision Letters</b>   |                                  |

Disposition Authority Number DAA-0218-2019-0002-0005

Records of applied students who were not admitted. Records include, but are not limited to: --Notices to students of denied admission --Waitlist --Withdrawals --Cancellation of admittance Records contain PII and sensitive information.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

#### Disposition Instruction

Cutoff Instruction Cut off at end of academic year.

Retention Period Destroy 3 year(s) after cut off

#### Additional Information

GAO Approval Not Required

#### 1300-02-E: Student Academic Waivers

Disposition Authority Number DAA-0218-2019-0002-0006

Records identifying/justifying a students extenuating circumstances which have caused them to lose good academic standing and/or satisfactory academic progress. The University/College provides the opportunity for a student to request a waiver of these standards. Such a waiver will be granted only if the student's situation is viewed as an exceptional or extraordinary case, meaning, the circumstances preventing the student from meeting the requirements were highly unusual and most probably out of the student's control. The student must be an otherwise serious and successful student. Records include, but are not limited to approvals to meet program requirements with administrative action.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

1.5

|     |   |                                  |
|-----|---|----------------------------------|
|     | Do any of the records covered by this item exist as structured electronic data?   | Yes                              |
|     | <b>Disposition Instruction</b>  |                                  |
|     | Cutoff Instruction  | Cut off at end of academic year. |
|     | Retention Period  | Destroy 3 year(s) after cut off  |
|     | <b>Additional Information</b>   |                                  |
|     | GAO Approval  | Not Required                     |
| 1.6 | <b>1300-02-F: Academic Program Administrative Records</b>   |                                  |
|     | Disposition Authority Number  | DAA-0218-2019-0002-0007          |
|     | Records of the daily and routine administration of academic programs of the department or college. Records include, but are not limited to: --Registration reports --Add-drop analyses and reports --Course enrollment summaries by class --Graduation summaries --Majors by class level --International activities --Advising notes --Cooperative ventures --Welcome packages --Term class schedules and enrollment reports --Placement information --Convenience copies of reports prepared by admissions, registrar's, and other offices --Memos; working papers; and related documentation and correspondence |                                  |
|     | Final Disposition   | Temporary                        |
|     | Item Status   | Active                           |
|     | Is this item media neutral?   | Yes                              |
|     | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?   | Yes                              |
|     | Do any of the records covered by this item exist as structured electronic data?   | Yes                              |
|     | <b>Disposition Instruction</b>  |                                  |
|     | Cutoff Instruction  | Cut off at end of academic year. |
|     | Retention Period  | Destroy 3 year(s) after cut off  |
|     | <b>Additional Information</b>   |                                  |
|     | GAO Approval  | Not Required                     |
| 1.7 | <b>1300-02-G: Training Forms</b>  |                                  |
|     | Disposition Authority Number  | DAA-0218-2019-0002-0008          |

Records of course material developed, gathered and used in training. Records include, but are not limited to: reference material, outlines, handouts, notes, evaluations, and actual presentations. May include employee registration and rosters. Includes both required and non-required training. Records are organized by Academic Year.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Cut off at end of academic year.

Retention Period Destroy 3 year(s) after cut off

Additional Information

GAO Approval Not Required

1.8

1300-02-H: Schedule of Classes

Disposition Authority Number DAA-0218-2019-0002-0009

Records of formulating class schedules by academic departments for inclusion in the published schedule of classes. Records include, but are not limited to: --Final edition of the schedule of classes --Requests from departments for class offerings --Deviation from schedule forms --Copies of course schedule maintenance forms --Requests for class changes --Working papers and related documentation and correspondence

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

|     |   |
|-----|---|
|     | <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at end of academic year.</p> <p>Retention Period                         Destroy 3 year(s) after cut off</p> <p><b>Additional Information</b></p> <p>GAO Approval                              Not Required</p>  |
| 1.9 | <p><b>1300-02-I: Academic Book Order Records</b></p> <p>Disposition Authority Number        DAA-0218-2019-0002-0010</p> <p>Records of books ordered for courses taught in the department. Records include, but are not limited to: the institution textbook request forms which includes authors, titles, publications, course numbers, and expected enrollment; other forms; and related documentation and correspondence</p> <p>Final Disposition                         Temporary</p> <p>Item Status                                 Active</p> <p>Is this item media neutral?             Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?        Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                             Yes</p> |
|     | <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                         Cut off at end of academic year.</p> <p>Retention Period                         Destroy 3 year(s) after cut off</p> <p><b>Additional Information</b></p> <p>GAO Approval                              Not Required</p>   |
| 2   | <p><b>CATEGORY – 10 YEARS (-03)</b></p> <p>Operational and Programmatic Records of the university / college / school that cover major functions such as, but not limited to, accreditation; curriculum development; degree audit and application for graduation; student application/ nomination packages; academic and admission review boards; and master course catalogs and commencement programs. This category covers records that are important to meeting the overall and recurring academic needs of the university / college / school.</p>  |
| 2.1 | <p><b>1300-03-A: Accreditation Documentation</b></p> <p>Disposition Authority Number        DAA-0218-2019-0002-0011</p>   |

Records / documentation regarding a college or program's efforts to prepare for accreditation by a relevant educational accreditation body which sets the standards for that particular discipline, including the University's or individual college's formal accreditation by a relevant educational accreditation body (currently Middle States Association of Colleges and Schools {MSCHE) and Process of Accreditation for Joint Education {PAJE}). Also included are remarks prepared by institution officials to respond to the committee's observations and suggestions. Records include, but are not limited to: ----College/program reports, memos and other correspondence such as statistical, descriptive and evaluative materials necessary to prepare for or maintain accreditation. Materials must have been created specifically for accreditation. ----Self-study reports, final report and questions and responses. Final reports are received from study committees of accreditation associations for colleges and universities. Reports reflect suggestions and recommendations concerning an institution's or college's organizational structure and administration, educational programs, financial resources, faculty qualifications, library resources, student body characteristics, physical plant features and vital areas for institutions of higher learning.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

#### Disposition Instruction

Retention Period Destroy 10 year(s) after accreditation or when superseded by a new accreditation occurs, whichever is later

#### Additional Information

GAO Approval Not Required

1300-03-B: Academic Review Board Records

Disposition Authority Number DAA-0218-2019-0002-0012

Academic Review Board Records. Records include, but are not limited to: Disciplinary Action Records, Written Decisions of Hearings, Correspondence associated with hearings, Notification of hearing letters sent to students, Academic Board Meetings.

Final Disposition Temporary

2.2

|     |  |                                  |
|-----|--|----------------------------------|
|     | Item Status  | Active                           |
|     | Is this item media neutral?  | Yes                              |
|     | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?  | Yes                              |
|     | Do any of the records covered by this item exist as structured electronic data?  | Yes                              |
|     | <b>Disposition Instruction</b>   |                                  |
|     | Cutoff Instruction   | Cut off at end of academic year. |
|     | Retention Period   | Destroy 10 year(s) after cut off |
|     | <b>Additional Information</b>  |                                  |
|     | GAO Approval   | Not Required                     |
| 2.3 | <b>1300-03-C: Admission Board Review Records</b>   |                                  |
|     | Disposition Authority Number   | DAA-0218-2019-0002-0013          |
|     | Records of applications for admissions and acceptance decisions. Records include, but are not limited to: application/nomination packages, recommendations, justifications, final decisions, and admissions offers to students. Records contain PII and sensitive information. |                                  |
|     | Final Disposition  | Temporary                        |
|     | Item Status  | Active                           |
|     | Is this item media neutral?  | Yes                              |
|     | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?  | Yes                              |
|     | Do any of the records covered by this item exist as structured electronic data?  | Yes                              |
|     | <b>Disposition Instruction</b>   |                                  |
|     | Cutoff Instruction   | Cut off at end of academic year. |
|     | Retention Period   | Destroy 10 year(s) after cut off |
|     | <b>Additional Information</b>  |                                  |
|     | GAO Approval   | Not Required                     |
| 2.4 | <b>1300-03-D: Course Records</b>   |                                  |

Disposition Authority Number      **DAA-0218-2019-0002-0014**

**Records of departmental course offerings and individual course contents that are routinely accessed on a daily basis. Records include, but are not limited to: syllabi; course descriptions; course outlines; course summaries; curriculum approval lists; reading lists; course announcements; handout materials; and related documentation and correspondence**

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                      **Yes**

**Disposition Instruction**

Cutoff Instruction                      **Cut off at end of academic year.**

Retention Period                        **Destroy 10 year(s) after cut off**

**Additional Information**

GAO Approval                            **Not Required**

2.5

**1300-03-E: Curriculum Development Documentation**

Disposition Authority Number      **DAA-0218-2019-0002-0015**

**Records of files documenting approval of new programs and degrees. It is the organized preparation of whatever is going to be taught in schools at a given time in a given year. They are made into official documents, as guides for professors, and made obligatory by provincial and territorial departments**

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                      **Yes**

**Disposition Instruction**

|   |   |                                  |
|---|---|----------------------------------|
| 2.6   | Cutoff Instruction  | Cut off at end of academic year. |
|   | Retention Period  | Destroy 10 year(s) after cut off |
|   | Additional Information  |                                  |
|   | GAO Approval  | Not Required                     |
|   | <b>1300-03-F: Degree Audit and Application for Graduation Records</b>   |                                  |
|   | Disposition Authority Number  | DAA-0218-2019-0002-0016          |
|   | Records of student completion of degree requirements. Records include, but are not limited to: work sheets; transcripts; and transfer course evaluations. The series may also include official graduation audit forms that list students' names, colleges, majors, degrees, minors, the course loads taken by the applicants and how the applicants have fulfilled them, grade point averages, and deans' recommendations/ comments and signatures. |                                  |
|   | Final Disposition   | Temporary                        |
|   | Item Status   | Active                           |
|   | Is this item media neutral?   | Yes                              |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes   |                                  |
| Do any of the records covered by this item exist as structured electronic data?   | Yes   |                                  |
| Disposition Instruction   |   |                                  |
| Cutoff Instruction  | Cut off at end of academic year.  |                                  |
| Retention Period  | Destroy 10 year(s) after cut off  |                                  |
| Additional Information  |   |                                  |
| GAO Approval  | Not Required  |                                  |
| 2.7   | <b>1300-03-G: Student Application/Nomination Packages (Enrolled and Non-Enrolled)</b>   |                                  |
|   | Disposition Authority Number  | DAA-0218-2019-0002-0017          |
|   | Records of Student Nomination Packages (Supporting documents (e.g., Non/ endorsement letter, waivers, personal statements, resumes, writing samples, transcripts, privacy act form, education record release, worldwide travel), Direct Entry Packages filed by Academic Year.  |                                  |
|   | Final Disposition   | Temporary                        |
|   | Item Status   | Active                           |
|   | Is this item media neutral?   | Yes                              |

|     |   |  |
|-----|---|--|
|     | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?   | Yes                                    |
|     | Do any of the records covered by this item exist as structured electronic data?   | Yes                                    |
|     | <b>Disposition Instruction</b>  |  |
|     | Cutoff Instruction  | Cut off at end of academic year.       |
|     | Retention Period  | Destroy 10 year(s) after cut off       |
|     | <b>Additional Information</b>   |  |
|     | GAO Approval  | Not Required                           |
| 3   | <b>CATEGORY – EXCEPTIONS (-06)</b>  |  |
|     | Records that begin their dispositioning period based on an event, rather than a set duration; i.e., records of departing personnel or change of administration. For cutoff purposes, these records begin their dispositioning either in the Fiscal, Calendar, or Academic year, depending upon business processes. This category may also contain records that have retentions that are longer than 10 years, but not permanent. Please note that the following items are all new proposed dispositions and that none of them currently exist in CJCSM 5760.01A, Vol. II. |  |
| 3.1 | <b>1300-06-A: Academic – Memorandum of Understanding (MOU)</b>  |  |
|     | Disposition Authority Number  | DAA-0218-2019-0002-0018                |
|     | Records of Academic – Memorandum of Understanding (MOU) used to document academic issues of general understanding between two or more parties that do not involve reimbursement.  |  |
|     | Final Disposition   | Temporary                              |
|     | Item Status   | Active                                 |
|     | Is this item media neutral?   | Yes                                    |
|     | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?   | Yes                                    |
|     | Do any of the records covered by this item exist as structured electronic data?   | Yes                                    |
|     | <b>Disposition Instruction</b>  |  |
|     | Cutoff Instruction  | Cut off at end of academic year.       |
|     | Retention Period  | Destroy 5 year(s) after MOU terminates |



|     |   |                                  |
|-----|---|----------------------------------|
| 3.4 | Is this item media neutral?   | Yes                              |
|     | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?   | Yes                              |
|     | Do any of the records covered by this item exist as structured electronic data?   | Yes                              |
|     | <b>Disposition Instruction</b>  |                                  |
|     | Cutoff Instruction  | Cut off at end of academic year. |
|     | Retention Period  | Destroy 20 year(s) after cut off |
|     | <b>Additional Information</b>   |                                  |
|     | GAO Approval  | Not Required                     |
|     | <b>1300-06-D: Student Disenrollment</b>   |                                  |
|     | Disposition Authority Number  | DAA-0218-2019-0002-0021          |
|     | <b>Records of Student Disenrollment.</b> Students may be disenrolled if they fail to meet personal conduct and academic achievement standards. Disenrollment may terminate any future enrollment. Records may include, but are not limited to, notice of academic action related to academic non performance, violations of academic integrity, ethics violations, and other violations of University Code of Student Conduct, hearings notes, memos, and correspondence. Penalties of student disenrollment (suspension, expulsion, denial or revocation of degree, and/or withdrawal of diploma) are retained on a temporary basis. |                                  |
|     | Final Disposition   | Temporary                        |
|     | Item Status   | Active                           |
|     | Is this item media neutral?   | Yes                              |
|     | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?   | Yes                              |
|     | Do any of the records covered by this item exist as structured electronic data?   | Yes                              |
|     | <b>Disposition Instruction</b>  |                                  |
|     | Cutoff Instruction  | Cut off at end of academic year. |
|     | Retention Period  | Destroy 20 year(s) after cut off |
|     | <b>Additional Information</b>   |                                  |

|     |  |
|-----|--|
|     | <p>GAO Approval Not Required</p> <p>3.5 1300-06-E: Academic Integrity Violations</p> <p>Disposition Authority Number DAA-0218-2019-0002-0022</p> <p>Records of Academic Integrity Violations. Any "violation of the expectation of academic integrity is academic misconduct." Such misconduct can take many forms, examples are the most common kinds of academic misconduct: cheating, plagiarism, and fabrication. Records may include, but are not limited to, memorandums, investigation notes, correspondence and final actions regarding violations of NDU academic integrity policies.</p> <p>Final Disposition Temporary</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p> <p>Do any of the records covered by this item exist as structured electronic data? Yes</p> <p>Disposition Instruction</p> <p>Cutoff Instruction Cut off at end of academic year.</p> <p>Retention Period Destroy 20 year(s) after Cut off</p> <p>Additional Information</p> <p>GAO Approval Not Required</p> |
| 3.6 | <p>1300-06-F: Academic Surveys</p> <p>Disposition Authority Number DAA-0218-2019-0002-0023</p> <p>Records of respondents' perceptions and evaluations of the effectiveness of various aspects of the academic program, operations and environment. Records include, but are not limited to: surveys, questionnaires, de-identified respondent data, response data, analytical and summary reports of survey results, recommendations, longitudinal trending data and other documents created in connection with evaluating all aspects of the academic program, operations and environment. Aspects of the academic program, operations and environment may include, but are not limited to: the curriculum, course/program/institutional outcomes and objectives, student's perception of faculty performance and student and academic support services. Survey participants may include, but are not limited to: students, faculty, staff, graduates, supervisors of graduates, and senior stakeholders.</p>   |

|   |  |                                  |
|---|--|----------------------------------|
| 3.7   | Final Disposition  | Temporary                        |
|   | Item Status  | Active                           |
|   | Is this item media neutral?  | Yes                              |
|   | Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?  | Yes                              |
|   | Do any of the records covered by this item exist as structured electronic data?  | Yes                              |
|   | <b>Disposition Instruction</b>   |                                  |
|   | Cutoff Instruction   | Cut off at end of academic year. |
|   | Retention Period   | Destroy 30 year(s) after cut off |
|   | <b>Additional Information</b>  |                                  |
|   | GAO Approval   | Not Required                     |
|   | <b>1300-06-G: Academic Reports</b>   |                                  |
|   | Disposition Authority Number   | DAA-0218-2019-0002-0024          |
|   | Records of academic reports required by the Joint Staff and NDU's accrediting bodies: Middle States Commission on Higher Education (MSCHE) and the Process for the Accreditation of Joint Education (PAJE). Records include but are not limited to: Size and Composition Reports, Student Composition Reports (enrollment and graduation reports), Annual Report, MSCHE enrollment and self-study reports, and PAJE reports. |                                  |
|   | Final Disposition  | Temporary                        |
|   | Item Status  | Active                           |
| Is this item media neutral?   | Yes  |                                  |
| Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? | Yes  |                                  |
| Do any of the records covered by this item exist as structured electronic data?   | Yes  |                                  |
| <b>Disposition Instruction</b>  |  |                                  |
| Retention Period  | Destroy 75 year(s) after date of Report.   |                                  |
| <b>Additional Information</b>   |  |                                  |
| GAO Approval  | Not Required   |                                  |

3.8

### 1300-06-H: Grievance Records

Disposition Authority Number      **DAA-0218-2019-0002-0025**

Records of grievances brought forward by students against the institutions which do not result in litigation. Records include, but are not limited to: academic issues; student conduct; notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; appeals documentation; and related records. Portions of these records may be exempt from public disclosure.

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                      **Yes**

#### Disposition Instruction

Cutoff Instruction                      **Cut off at case closure date.**

Retention Period                        **Destroy 3 year(s) after cut off**

#### Additional Information

GAO Approval                            **Not Required**

3.9

### 1300-06-I: Student Evaluations, Exams/Papers

Disposition Authority Number      **DAA-0218-2019-0002-0026**

Records of student evaluations, examinations, and papers. Records include, but are not limited to: Graded examinations, papers, and other documentation that are not returned to student. Professor grade books.

Final Disposition                      **Temporary**

Item Status                              **Active**

Is this item media neutral?          **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?      **Yes**

Do any of the records covered by this item exist as structured electronic data?                      **Yes**

|                    |  |
|--------------------|--|
|                    | <p><b>Disposition Instruction</b></p> <p>Cutoff Instruction                      Cut off at end of academic year.</p> <p>Retention Period                         Destroy 1 year(s) after cut off.</p> <p><b>Additional Information</b></p> <p>GAO Approval                              Not Required</p> <p><b>3.10</b>                      <b>1300-06-J: Department of State DS 2019 - Certificate of Eligibility for Exchange Visitor (J-1) Status</b></p> <p>Disposition Authority Number         DAA-0218-2019-0002-0027</p> <p>Records used in the administration of the exchange visitor program. This form permits a prospective exchange visitor to seek an interview at a U.S. embassy or consulate in order to obtain a J visa to enter the United States. The Form DS-2019 identifies the exchange visitor and their designated sponsor and provides a brief description of the exchange visitor's program, including the start and end date, category of exchange, and an estimate of the cost of the exchange program.</p> <p>Final Disposition                         Temporary</p> <p>Item Status                                 Active</p> <p>Is this item media neutral?             Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?             Yes</p> <p>Do any of the records covered by this item exist as structured electronic data?                             Yes</p> <p><b>Disposition Instruction</b></p> <p>Retention Period                         Destroy 3 year(s) after individual Scholar/Research program ends.</p> <p><b>Additional Information</b></p> <p>GAO Approval                              Not Required</p> |
| <p><b>3.11</b></p> | <p><b>1300-06-K: Student Alumni Records</b></p> <p>Disposition Authority Number         DAA-0218-2019-0002-0028</p> <p>Records of the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. Records may be used to create a network of support from alumni, primarily through organized alumni groups; to track alumni; to monitor their achievements, activities, and recognitions; to create statistics; to reply to information requests; and to provide information on the accomplishments of previous students. Records include, but are not limited</p>  |

to: --Memberships lists with names, addresses --Employer names and addresses, and positions --Promotional materials concerning annual gatherings --Data cards and files for individual alumni --Degree recipient lists --Outstanding alumni lists -- Foreign student rosters --International alumni club records --Notes, memoranda, and related correspondence concerning general alumni affairs.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

#### Disposition Instruction

Cutoff Instruction Cut off at end of academic year.

Retention Period Destroy 15 year(s) after Cut off

#### Additional Information

GAO Approval Not Required

3.12

### 1300-06-L: Official Student Academic Records

Disposition Authority Number DAA-0218-2019-0002-0029

Official Student Academic Records. Records may include, but are not limited to, courses, credits, grades, education and enrollment verifications, transcripts, and other pertinent data representing their academic history at an institution.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

#### Disposition Instruction

Cutoff Instruction Cut off at end of academic year.

|      |   |
|------|---|
| 3.13 | <p>Retention Period Destroy no sooner than 75 year(s) after cut off but longer retention is authorized</p>  |
|      | <p>Additional Information</p>   |
|      | <p>GAO Approval Not Required</p>  |
|      | <p>1300-06-M: Master Catalogs/Bulletins/Handbooks</p>   |
|      | <p>Disposition Authority Number DAA-0218-2019-0002-0030</p>   |
|      | <p>Records which document the University/College official programs and courses, and the policies and procedures governing admittance to and matriculation and enrollment in such programs. Records include, but are not limited to: academic calendar, course descriptions, academic policies and procedures.</p> |
|      | <p>Final Disposition Temporary</p>  |
|      | <p>Item Status Active</p>   |
|      | <p>Is this item media neutral? Yes</p>  |
|      | <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</p>  |
|      | <p>Do any of the records covered by this item exist as structured electronic data? Yes</p>  |
|      | <p>Disposition Instruction</p>  |
|      | <p>Cutoff Instruction Cut off at end of academic year.</p>  |
|      | <p>Retention Period Move master file/product to the historical file located in the University Library 10 years after cutoff or when administratively no longer needed, whichever is earlier. Destroy no sooner than 75 years after cutoff but longer retention is authorized</p>                                  |
|      | <p>Additional Information</p>   |
|      | <p>GAO Approval Not Required</p>  |
| 3.14 | <p>1300-06-N: Master Commencement Program</p>   |
|      | <p>Disposition Authority Number DAA-0218-2019-0002-0031</p>   |
|      | <p>Records of commencement activities. Records include, but are not limited to: list of graduates of the University and its ceremony schedule, published for public distribution. May include college or program designation and academic honors.</p>   |
|      | <p>Final Disposition Temporary</p>  |
|      | <p>Item Status Active</p>   |

Is this item media neutral? **Yes**

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? **Yes**

Do any of the records covered by this item exist as structured electronic data? **Yes**

**Disposition Instruction**

Cutoff Instruction **Cut off at end of academic year.**

Retention Period **Move master file/product to the historical file located in the University Library 10 years after cutoff or when administratively no longer needed, whichever is earlier. Destroy no sooner than 75 years after cutoff but longer retention is authorized.**

**Additional Information**

GAO Approval **Not Required**

## Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

## Signatory Information

| Date       | Action                   | By              | Title                             | Organization   |
|------------|--------------------------|-----------------|-----------------------------------|--|
| 05/09/2019 | Certify                  | Patricia Capers | Records Officer                   | Information Management Division - Records Research Branch                  |
| 07/02/2019 | Return for Revision      | Richard Noble   | Senior Appraisal Archivist        | National Archives and Records Administration - Records Management Services |
| 10/18/2019 | Submit For Certification | Patricia Capers | Records Officer                   | Information Management Division - Records Research Branch                  |
| 11/20/2019 | Certify                  | Patricia Capers | Records Officer                   | Information Management Division - Records Research Branch                  |
| 12/19/2019 | Return for Revision      | Richard Noble   | Senior Appraisal Archivist        | National Archives and Records Administration - Records Management Services |
| 12/19/2019 | Submit For Certification | Avi Kaufman     | Information Management Specialist | Information Management Division - Records and Research Branch              |
| 12/19/2019 | Certify                  | Patricia Capers | Records Officer                   | Information Management Division - Records Research Branch                  |
| 06/09/2020 | Submit for Concurrence   | Richard Noble   | Senior Appraisal Archivist        | National Archives and Records Administration - Records Management Services |

|            |         |                  |   |   |
|------------|---------|------------------|---|---|
| 06/16/2020 | Concur  | Margaret Hawkins | Director of Records Management Services | National Records Management Program - ACNR Records Management Services                      |
| 06/16/2020 | Concur  | Laurence Brewer  | Chief Records Officer                   | National Records and Archives Administration - National Records and Archives Administration |
| 06/22/2020 | Approve | David Ferriero   | Archivist of the United States          | Office of the Archivist - Office of the Archivist   |