

APPENDIX A

ACADEMIC AFFAIRS

Type of Record	Office of Record	Duration
Office of Admissions		
Advanced Placement Records, Applications for Admission or Readmission, Correspondence that is relevant, Entrance Exam Reports (ACT, CEEB, et. al.), Residency Classification Forms, Letters of Recommendation, Transcripts (high school and other college)	Admissions	3 years from start of application term
Recruitment-related Records of Admitted Students (Correspondence that is relevant to application [i.e., Change of Major], Residency Classification Forms, Pre-enrollment Residency Changes [non-resident to resident], Letters of recommendation)	Admissions	5 years from graduation or date of last attendance
Extended Programs		
Continuing Education Student Forms	Continuing Education	1 year from registration
Office of Faculty Research		
Animal Welfare Records	Faculty Research	3 years or contract period
Grant and Contract Applications, Proposals, and Supporting Documentation	Faculty Research	Documents related to funded grants are retained for 3 years after the funding period has ended. Documents related to unfunded grants are returned to the grant writer/PI upon notification of non-funding or at the end of the academic year.
Human Subject Records	Faculty Research	3 years or contract period

Office of Financial Aid		
Financial Aid Records (Applicants who enroll)	Financial Aid	3 years from graduation or date of last attendance or after loan repaid in full
Financial Aid Records (Applicants who do <u>not</u> enroll)	Financial Aid	1 year from date of application
Veterans Administration Certifications	Financial Aid	4 years from graduation or date of last attendance
Office of Graduate Studies		
Admission-related records of admitted graduate students	Graduate Studies	Permanent
Graduate Registration Forms (Quick Admit, Late Drop/Add Exceptions, Closed Section)	Graduate Studies	1 year from registration
Recruitment-related Records of Admitted Students (Correspondence that is relevant to application [i.e., Change of Major], Residency Classification Forms, Pre- enrollment Residency Changes [non-resident to resident], Letters of recommendation)	Graduate Studies	5 years from graduation or date of last attendance
Office of Institutional Research		
University Fact Book and Enrollment Report	Institutional Research	Permanent
EEO6 Reports	Institutional Research	Permanent
Intellectual Property		
TBD	TBD	TBD
Office of International Programs		
International Student Forms (Visa & other immigration- related documentation, including: I-20, DS-2019, I- 94, I-765, I-539, passports, exchange affiliation agreements, and tuition waiver reports)	International Programs	5 years after graduation or last attendance

Office of the Registrar		
Academic Records (Transcripts, Transfer Credit Evaluations, Final Degree Audits, Course Substitutions, Student Schedules, etc.)	Registrar	Permanent
Academic Semester Reports (Probation, Suspension, Honors, etc.)	Registrar	7 years from graduation or date of last attendance
Catalogs	Registrar	Permanent
Change of Grade Forms	Registrar	Permanent
Class Lists	Registrar	Permanent
Consent to Release Personally Identifiable Information (Requests for Non-Disclosure)	Registrar	Permanent
Degree, Grade, Enrollment, and Racial/Ethnic Statistics	Registrar	Permanent
Enrollment Verifications	Registrar	1 year from verification date
Grade Rosters	Registrar	Permanent
Graduation Lists	Registrar	Permanent
Hold or Encumbrance Authorizations	Registrar	Until released
Name Changes	Registrar	Permanent
Undergraduate Registration Forms (Quick Admit, Late Drop/Add Exceptions, Closed Section)	Registrar	1 year from registration
Schedule of Classes	Registrar	Permanent
Semester-based Student Forms (University Withdrawal, Leaves of Absence, Course Withdrawal, Readmission Forms, Off-Campus Course Requests, Credit/No Record, Co-ops/Internships, Individualized Instruction, Independent Study, Credit by Exam, Change of Status, Graduation Application)	Registrar	5 years
Student ID Numbers and ID	Registrar	Permanent

Number Changes		
Admissions-related records of admitted undergraduate students (Application for Admission/Re-Admission, High School and College Transcripts, Advanced Placement Records, Scores and Entrance Exams, Military and CLEP documents)	Registrar	Permanent

Office of the Provost		
Academic Integrity Violations	Provost	7 years
Academic Suspension Appeal Letters and Decisions	Provost	5 years from graduation or date of last attendance
Accreditation Records	Provost	Permanent
CCPS Proposals and Approval Forms	Provost	5 years

APPENDIX B

FINANCE AND ADMINISTRATION

Type of Record	Office of Record	Duration
Office of Accounts Payable		
Accounts Payable Vouchers and Attachments	Accounts Payable	6 years
Miscellaneous Invoices and Payment Records	Accounts Payable	6 years
Procurement Card Charge Documentation	Accounts Payable	6 years
Travel Reimbursements and Attachments	Accounts Payable	7 years
Office of Accounts Receivable (Student Accounts)		
Accounts Receivable Statements	Accounts Receivable	6 years
Student Account – Paid account	Accounts Receivable	5 years from end of last semester/session attended
Student Account – Unpaid balance	Accounts Receivable	5 years from date of full payment of unpaid balance
Student Loan Records	Accounts Receivable	3 years after the loan has been repaid in full
Tuition and Fee Charges	Accounts Receivable	6 years after graduation or most recent date of attendance
Office of Facilities Planning		
As-built Drawings	Facilities Planning	Permanent
Construction Contracts and Agreements	Facilities Planning	Permanent
Construction/Fixed Warranties	Facilities Planning	Life of Warranty
Office of Finance and Administration		
Accounting Reports (monthly reports) Schedules of Department Balances, Transaction Statements, Account Analysis Statements, Monthly and Year-to-Date Salary and Wage Statements	Finance and Administration	6 years

Annual Financial Reports and Audits for University and Affiliated Organizations	Finance and Administration	Permanent
Authority for Banking	Finance and Administration	Employment term of authorized personnel
Banking Records, Including Deposit and Withdrawal Records, Bank Statements and Reconciliation, Voided and Canceled checks	Finance and Administration	6 years
Capital Equipment Records, including Asset Acquisition, Disposition, and Depreciation Schedules (Accounting, Library, Rolling Stock)	Finance and Administration	Life of Asset: Records of equipment purchased on federal funds must be retained for three years after final disposition.
Cash Receipts	TBD	TBD
Excise Tax Documents	Finance and Administration	7 years
Income Tax Documents (990, 1099, 8282, 90.22, etc.)	Finance and Administration	Permanent
Indirect Cost Rate Calculations	Finance and Administration	6 years
Inventories	Appropriate Department	Life of Asset
Journal Entries and Back-up Documentation	Finance and Administration	6 years
Leases, Licenses, Construction Contracts, and other contracts of a temporary nature valued at less than \$50,000	Finance and Administration	6 years after expiration of lease or contract term
New Account Records and Back-up Documentation	Finance and Administration	6 years after account closing
Property Deeds, Easements, Licenses, Rights of Way, Rights of First Refusal, Remainder Interests, Mortgages	Finance and Administration	Permanent
Property Tax Documents	Finance and Administration	Permanent
Sales Tax Documents	Finance and Administration	7 years

Subsidiary Ledgers (Accounts Payable, Accounts Receivable, etc.)	Finance and Administration	6 years
Summary Analysis Reports, end of year (Fund, Source, Function)	Finance and Administration	6 years
Title Insurance Policies	Finance and Administration	6 years after disposal of property
Trial Balances	Finance and Administration	6 years
Trustee Approved Budgets	Finance and Administration	Permanent
University Audit Work Papers	Finance and Administration	6 years
Office of Human Resources		
Employee Personnel Files (including application, payroll forms, appointment/salary forms, contracts, I-9 forms, non-contractual releases, performance appraisals)	Human Resources	To age 75 or 4 years from date last employed, whichever is earlier.
Financial Disclosure Forms	Human Resources	4 years
Grievances	Human Resources	Permanent
I-9 Forms (Students)	Human Resources	3 years after date of hire or 1 year after separation, whichever is later.
Leave Reporting Documents	Human Resources	4 years
Payroll Vouchers	Human Resources	3 years
Records of Additional/Supplemental Pay to Employees	Human Resources	3 years from date of payment
Staff Search Records	Human Resources	3 years
Tenure, Promotion, and Sabbatical Records	Human Resources	To age 75 or 4 years from date last employed, whichever is earlier.
Time Cards, Students	Human Resources	3 years
Union Agreements	Human Resources	Permanent
Volunteer Appointments	Human Resources	7 years
Wage Assignment Orders	Human Resources	To age 75 or 4 years from date last employed, whichever is earlier.
Workers' Compensation Records	Human Resources	Permanent
W-2 Records	Human Resources	Permanent

Office of Public Safety		
Accident Reports (Non-Employee, including Contractor or Vendor, Non- Vehicle)	Public Safety	7 years after report date
Crime Reports/Incident Reports	Public Safety	7 years after report date
Environmental Health and Safety Incident Records	Public Safety	5 years
Evacuation Drill Records	Public Safety	5 years
Fire Protection System Records	Public Safety	5 years
Fume Hood Testing Records	Public Safety	3 years
Hazardous Waste Disposal Manifests and Reports	Public Safety	3 years
Material Safety Data Sheets (MSDS)	Public Safety	Permanent
Motor Vehicle Accident Reports	Public Safety	7 years after report date
Portable Extinguisher Training Records	Public Safety	3 years
Property Damage Reports	Public Safety	4 years after report date
Staff/Faculty/Student Parking Permit Information	Public Safety	4 years after report date
Radioactive Materials Safety Records	Public Safety	Permanent
Office of Purchasing		
Authority for Procurement	Purchasing	Employment term of authorized personnel
Certificates of Insurance, Indemnification Agreements, Hold Harmless Agreements, Contracts	Purchasing	6 years after expiration
Collaborative Agreements	Purchasing	3 years beyond expiration of agreement
Contracts for Instructional Services	Purchasing	3 years beyond expiration of contract
Insurance Policies (Liability, Property, and Other Policies)	Purchasing	Permanent
Memoranda of Understanding for WEDNet Institutions	Purchasing	3 years beyond expiration of contract
Purchase Orders, Non-Labor Contracts, Agreements	Purchasing	6 years

APPENDIX C

OFFICE OF THE PRESIDENT

Type of Record	Office of Record	Duration
Office of the President		
Council of Trustees Minutes	Office of the President (Bound copies also kept in the University Libraries)	Permanent
Middle States Reports (Decennial Review, Five-Year Periodic Review Report, Annual Institutional Profile Update)	Office of the President	Permanent
Official University Actions	Office of the President	Permanent
Office of Social Equity		
Conciliation Agreements, Orders of Consent	Office of Social Equity	Permanent
Consent Orders, Court Orders, Judgments, Releases, and Settlements	Human Resources, Social Equity, Finance & Administration, as appropriate	Permanent
Faculty, SCUPA, and Manager Search Records (including waivers)	Social Equity	3 years
Sexual Harassment and Discrimination Complaints, Investigations, and Dispositions (Decisions of the President)	Social Equity	3 years

APPENDIX D

STUDENT AND UNIVERSITY AFFAIRS

Type of Record	Office of Record	Duration
Alumni Affairs		
Alumni Records	Registrar	Permanent
Health Center		
Health Center Services for Regulatory Required Medical Surveillance and Monitoring Records	Health Center	7 years after person leaves the university
Outside Services for Regulatory Require Medical Surveillance and Monitoring Records	Health Center	7 years after person leaves the university
Student Health Center and Counseling Records (Non-regulatory)	Health Center	7 years after student leaves university
ID Card Office		
Block Meal Plan Count	ID Card Office	7 years
Eagle Dollar Balances	ID Card Office	7 years
Flex Dollar Records	ID Card Office	7 years
ID Photo Records	ID Card Office	To graduation or 5 years from most recent ID issuance
Meal Plan Agreements	ID Card Office	2 years
Office of Advancement		
Records of Gifts to the University	Advancement	7 years
Office of Judicial Affairs & Residence Life Education		
Student Disciplinary Records	Judicial Affairs & Residence Life Education	5 years from date of final obligation
Office of Residence Life		
Housing Forms	Residence Life	7 years
Office of University Relations		
Right to Know Requests	University Open Records Officer	2 years