

RECORDS RETENTION AND DISPOSITION SCHEDULE

**St. John's University
2007**

**Prepared by:
Office of General Counsel
Office of Records Management and Archives**

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Introduction

St. John’s University Records Retention and Disposition schedule indicates the minimum length of time that local officials must retain their records before they may be disposed of legally. It has been prepared by the Office of Records Management and the Office of General Counsel.

The purposes of this policy are to:

1. ensure that records are retained as long as needed for administrative, legal and fiscal purposes;
2. ensure that state and federal record retention requirements are met;
3. encourage and facilitate the disposal of unneeded records.

Archival Records

Archival records are records that must be kept permanently to meet fiscal, legal, or administrative needs of the University or documents that contain historically significant information. What makes a record worthy of permanent retention is the continuing importance of the information it contains.

All records in this Records retention and disposition schedule that have been given a permanent designation on the schedule should be sent to Archives once it has been classified as a permanent document. Please contact the Archives office at X6734 to determine how a record should be sent and how many copies should be sent.

General Information

The guidelines contained in this policy pertain to the original or official copy of record, not duplicate copies. The retention guidelines identify the minimum retention periods for various records. It is a departments choice if they would like to keep records longer then stated in this policy. Once the time limit has passed, records should be destroyed in the manner that is needed. In some cases it is important to destroy information using a method that preserves its confidentiality such as through shredding. You can contact Records Management Department at X2018 if you have questions on how specific records should be destroyed.

Administration/Academic

Academic program proposals, including proposals for registration of new programs and requests for approval of changes in existing program title, HEGIS content, credit hours, curricular content, format and/or recourse commitment.

- a. For successful registration of program

RETENTION: Permanent

- b. For failed proposal

RETENTION: 0 after no longer needed

Accreditation records, for institutional or program accreditation by the Middle States Association of Colleges and Secondary Schools and other organizations responsible for accrediting institutions of higher learning

- a. Significant correspondence, reports, questionnaires, self-study records and reports, guides and related documents transmitted between the University and accrediting bodies:

RETENTION: Permanent

- b. Routine correspondence and transmittal records, drafts of guides and reports and fiscal records:

RETENTION: 6 years after accreditation approved or denied

Annual, special or final report, summary, review or evaluation

- a. Reports which contain substantial evidence of the University's well being, policy, procedures, plans and directions:

RETENTION: Permanent

- b. Reports where critical information is contained in other reports or reports that contain only routine legal, fiscal and administrative information:

RETENTION: 6 years

Course Information records

- a. Official copy of any literature or other material made available to the public, including college catalogs and student handbooks:

RETENTION: Permanent

- b. Detailed course descriptive information, including background materials and supporting documentation

RETENTION: 7 years after course or program is discontinued

- c. Routine internal information records relating to courses, including but not limited to draft descriptions and tentative course schedules.

RETENTION: 1 year

Curriculum development records, covering internal development and approval for credit and non-credit programs and courses

- a. Curriculum and related records describing course of instruction and course content:

RETENTION: 7 years

- b. Approved internal application for curriculum

RETENTION: 7 years

- c. Denied internal application for curriculum

RETENTION: 1 year

- d. Curriculum planning records

RETENTION: 0 after no longer needed

Incorporation, chartering and registration records

RETENTION: Permanent

List of board members

RETENTION: Permanent

Minutes and Documents (Official) of Board of Trustees, including all records accepted as part of the minutes:

RETENTION: Permanent

President’s office files including, but not limited to correspondence, memoranda, reports, studies, publicity items, contracts and other legal documents, and also including association or organization membership files

- a. Where file documents a significant subject, or major policy-making or program-development process

RETENTION: Permanent

- b. Where file documents routine activity

RETENTION: 6 years or 6 years after expiration of contract

Publications (Official), including newsletters, press releases, published reports, bulletins, website files, educational or informational program material

- a. Publications which contain significant information or substantial evidence of plans and directions for the University community or publications that have critical information:

RETENTION: Permanent

- b. Publications where critical information is also contained in other publications or reports, publications that document routine activities or routine information

RETENTION: 0 after no longer needed

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently.

Special event file

- a. Official copy of any program or promotional literature or photograph of events or games

RETENTION: Permanent

- b. Background materials and supporting documentation

RETENTION: 6 years

Alumni/Development Records

Alumni contact records including but not limited to name, address, occupation, degree attained, marital status, and summary records of financial contributions of alumni

RETENTION: 0 after obsolete

Alumni directory or other master summary records of alumni and all other degree recipients, such as alumni catalogs

RETENTION: Permanent

Record of gifts and bequests, including but not limited to, copy of will, copies of deeds, maps and surveys (if applicable) and records of establishment of the use of monies generated

- a. When trust fund or endowment is involved

RETENTION: Permanent

- b. For gift of work of art, historical or other artifact or historical manuscript

RETENTION: Permanent

- c. For gift not covered under parts “a” or “b”

RETENTION: 6 years

Archives/Record Management

Inventory of Records

RETENTION: 0 after superseded

Records disposition documentation of final disposition of records, describing records disposed of and manner and date of disposition:

RETENTION: 6 years after final disposition of records

Records transfer list

a. For archival records:

RETENTION: Permanent

b. For inactive records:

RETENTION: 0 after disposition of records on list

Retrieval requests for records in storage

RETENTION: 0 after return of records or 3 years after retrieval when records **not** returned.

Environmental Management

Energy consumption monitoring records showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions in various parts of the University

- a. Detailed data collected from sensors or monitors

RETENTION: 0 after no longer needed

- b. Equipment maintenance, testing and service records

RETENTION: 6 years after equipment no longer in use

- c. Reports relating to energy consumption and environmental conditions, including reports of problems and corrective actions taken, summary reports of environmental conditions and reports showing long-term energy consumption trends

RETENTION: 6 years

NOTE: Appraise these records for historical or other long-term significance prior to disposition. Records showing long-term trends in energy use may need to be retained permanently or at least 6 years after building or facility is no longer in use.

Hazardous waste generation records

- a. Removal records

RETENTION: 3 years after waste accepted by transporter

- b. Annual reports

RETENTION: 3 years

- c. Test results and waste analysis

RETENTION: 3 years after waste was removed

Inventory of Pesticides maintained by University

RETENTION: 40 years after superseded or obsolete

Toxic substance exposure records

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- a. Records of exposure or possible exposure of an employee to a toxic substance or other harmful agent, including background data to environmental monitoring or measuring, biological monitoring records, material safety data sheets or chemical inventory records, and related records.

RETENTION: 30 years

- b. Lists, or material safety data sheets, of toxic substances present in the workplace and of employees who handled those substances

RETENTION: 40 years after superseded or obsolete

Fiscal

Audit

Audit background documentation, including summaries, posting records, and related records created by an auditing office as part of the auditing procedure:

RETENTION: 6 years

Report of audit of financial affairs

- a. Audit report conducted by an outside auditing firm:

RETENTION: Permanent

- b. Internal audits and documentation

RETENTION: 6 Years

Banking and Investment

Banking communications, including but not limited to bank statements, bank reconciliations, voided checks, check stubs, cancellation of payment records or other notices for checking/savings accounts:

RETENTION: 6 years

Deposit book for checking/savings account, deposit slips

RETENTION: 6 years

Budget

Annual budget

RETENTION: Permanent

Budget change request, including approval or denial for change in approved budget:

RETENTION: 6 years

Budget preparation file for budget requests submitted by departments, including but not limited to preliminary or tentative budgets, budget and staffing requests, estimates of revenues or expenditures, budget review, notes and related records:

RETENTION: 6 years

Budget status reports on allocation, receipts, expenditures, encumbrances:

RETENTION: 6 years

Financial Aid

Financial aid reports (state, federal and other) covering multiple students, including but not limited to Tuition Assistance Program (TAP) reports:

RETENTION: 6 years

NOTE: Appraise these records for continuing administrative or historical value prior to disposition. Reports containing information showing trends in student financial aid over time may be valuable for planning and other decision making as well as research purposes.

Student financial aid records including but not limited to Free Application for Federal Student Aid (FAFSA) reports, applications for assistance, financial aid disbursement sheets, copies of income tax forms, financial aid transcripts from other schools, award and declination notices, verifications for non-taxable income and other tax-related records, work-study documents, copies of work-study time

RETENTION: 6 years

General Accounting and Miscellaneous

Accounting Register, including but not limited to check register, transfer of funds register, and paid claims:

RETENTION: 6 years after last entry

Accounts Payable records, including but not limited to bills and copy of payments

RETENTION: 6 years

Accounts Receivable records covering tuition, housing, food and other fees and past due student accounts:

RETENTION: 6 years after account satisfied or last entry

Cash transaction records, showing cash received from collection of various fees, cash receipts, and petty cash disbursed:

RETENTION: 6 years

General Ledger showing summary receipts and disbursements from all funds and accounts:

RETENTION: 6 years after last entry

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. General ledgers containing detailed entries that include information on nature of transaction and parties involved may be valuable in documenting financial transactions.

Grant, award or gift files, covering grants, awards and gifts given by individuals and businesses:

- a. Master summary record of grants, awards or gifts:

RETENTION: Permanent

- b. Detailed records of grants, award and gifts

RETENTION: 6 years

Journal recording chronological entries of all fiscal transactions:

RETENTION: 6 years after last entry

Subsidiary ledger providing details of the general ledger accounts:

RETENTION: 6 years after last entry

Travel and expense records for employees

RETENTION:

Purchasing

Cancelled bids files, including purchase orders, RFP's, price quotes and related records concerning bids for goods or services which were canceled without a purchase being completed:

RETENTION: 1 year

Invoices, packing slips, shipping ticket, copy of bill or similar record used to verify delivery and/or receipt of materials or supplies

RETENTION: 6 years

Purchasing file, including but not limited to bid (successful, unsuccessful), contract and specifications, and related records, for purchase of materials, supplies and service not connected with construction projects:

RETENTION: 6 years after expiration or termination or after final payment under contract.

Purchase order, purchase requisition, or similar record, used to obtain materials, supplies, services:

RETENTION: 6 years

Vendor file

RETENTION: 0 after obsolete

Reports

Annual or final fiscal reports

RETENTION: Permanent

Daily, weekly, monthly, quarterly or other periodic fiscal reports

RETENTION: 6 years

Grants & Research Records

Grant program file, covering grants received by St. John’s University

- a. Application, proposal, narrative, evaluation, and annual report for grants that have been awarded:

RETENTION: 6 years after renewal or close of grant

NOTE: Some may find that some of these records covered by part “a” have ongoing administrative value. These records may be useful beyond the minimum retention period for preparing future grant applications.

- b. Application, proposal, narrative, evaluation and background material for all grant applications that have been rejected:

RETENTION: 6 years after denial of application

Health

Log of students’ accidents and illnesses during the academic year:

RETENTION: 1 year after end of academic year

Student health records, including but not limited to health history, individualized health care plan, immunization records, results from examination, parent or guardian referral or permission record

RETENTION: 6 years

Student’s psychological or social assessment file

RETENTION: Until the student attains the age of 27 or 6 years, whichever is longer.

Instruction/Class Records

Curriculum records

- a. Course curriculum and related records describing course of instruction and course content

RETENTION: Permanent

- b. Application (approved) for curriculum change

RETENTION: 4 years after course is discontinued

- c. Application (denied) for curriculum change

RETENTION: 1 year

Evaluation of course instructor (SIR IIs)

RETENTION: 3 years

Examinations, including answer sheets

RETENTION: 6 months after course completion

Grade reports, test scores and marking sheets,

RETENTION: 2 years

Instructors course syllabus or lesson plan:

RETENTION: 0 after no longer needed

Research leave applications by faculty

RETENTION:

Insurance

Certificate of insurance certifying as to name of insured, type of insurance, limits of liability, date of expiration and policy number, when no outstanding claims are involved

RETENTION: 6 years after expiration

Insurance case records, except workers compensation case records, including but not limited to notice of claim, copies of filed court documents, accident reports, medical reports, copy of check, correspondence and other supporting documentation:

RETENTION: 6 years after claim is closed

NOTE: You may wish to retain the release longer for convenience of reference.

Insurance policy covering fire, theft, property damage, personal injury liability, general liability, insurance of life or property, when **no** outstanding claims are involved:

RETENTION: 6 years after expiration

Workers compensation case records

a. If claim allowed

RETENTION: 18 years after injury or illness, but not less than 8 years after last payment

b. If claim disallowed or otherwise disposed of without an award

RETENTION: 7 years after injury or illness.

Workers compensation and employer's liability insurance policy, when **no** outstanding claims are involved:

RETENTION: 18 years after expiration

Legal

Faculty grievance records, including but not limited to grievance, investigative records, hearing proceedings, decision rendered by employer, employee appeal, records of arbitration procedure, final decision and correspondence:

RETENTION: 3 years after grievance resolved

Legal Agreements, including, but not limited to, employment contracts, leases, releases, settlements, debt instruments, maintenance/food services contracts, promissory notes, student agreements and termination agreements:

RETENTION: 6 years after expiration or termination of agreement or 6 years after final payment made under contract.

Legal case file, including but not limited to notice of claim, attorney notes, complaints, court orders, pleadings, motions, briefs, releases and settlements:

RETENTION: 6 years after case closed

NOTE: Appraise these records for historical significance prior to disposition. Records with historical value should be retained permanently. Permanent retention should also be considered for significant cases which have importance or have set major legal precedents.

Subpoena, along with documentation of response, when not part of a legal file:

RETENTION: 6 months after date of response

Library

Acquisition records, including but not limited to purchase requests, orders, vouchers, receipts, invoices and related correspondence documenting the acquisition of books, serials, database services, brochures, and other publications for a library collection

RETENTION:

Borrowing or loaning records, including interlibrary loan:

RETENTION: 0 after no longer needed

Catalog of holdings

RETENTION: Permanent

Circulation of loan records, including but not limited to logs, charge out cards, and related records documenting the load of library materials to patrons:

RETENTION:

Library fines and fees records, including records on money received for library fines, lost books and interlibrary loan requests:

RETENTION:

Library material censorship and complaint records, including evaluations by staff, patrons complaints and records of final decisions

RETENTION: 6 years after final decision

NOTE: Appraise these records for historical significance prior to disposition. Some library censorship records deal with serious constitutional issues and may have value for future research.

Patron's registration for use of rare, valuable or restricted non-circulating materials:

RETENTION: 6 years

Reference request records, including but not limited to call slips, requests for database searches, and related records:

RETENTION:

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Text book loan records

RETENTION: 5 years

Payroll

Direct deposit records, including, but not limited to application to begin or terminate direct deposit, and transaction log

RETENTION: 5 years after authorization expires

Employee’s declaration of intention to accept or reject Social Security

RETENTION: 10 years after employee dies or reaches the age of 75, whichever is shorter.

Employee’s voluntary payroll deduction request forms and related records

RETENTION: 5 years after expiration

Federal determination of error in wage reports (Form OAR-S30)

RETENTION: 6 years after determination is received.

Payroll changes documents:

RETENTION: 6 years after employee termination of employment

Quarterly or other periodic reports of wages paid for Social Security,

RETENTION: 6 years after year in which wages are reported in

Records of assignments, attachments, and garnishments of employee’s salary

a. When employment was terminated prior to satisfaction

RETENTION: 6 years after termination of employment

b. When satisfied:

RETENTION: 5 years after satisfaction

Staff Time Sheets, including records of employees absences or accruals

RETENTION: 6 years

Year end payroll, including information on gross and net pay, base pay, taxes and other deduction:

RETENTION: 55 years

NOTE: University might want to retain these records longer for social security or retirement documentation purposes.

Personnel

Application for employment, including resume, when applicant is not hired:

RETENTION: 3 years

Employee Eligibility Verification Form (I-9), completed by employee and employer for all employees hired after November 6, 1986 verifying that the individual is eligible to work in the United States, including copies of document verifying that:

RETENTION: 3 years from date of hire or 1 year after employment is terminated whichever is longer.

Employee medical records

- a. First aid records of one-time treatment and subsequent observation of minor illnesses and injuries, if made on-site by a non-physician and maintained separately from the employee medical records:

RETENTION: 3 years after completion of treatment and observation

- b. Medical records, other than those covered by part “a”, including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnosis and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints and related records, for employee who worked one year or longer:

RETENTION: 30 years after termination of employment

- c. Medical records, other than those covered by part “a”, including medical questionnaires and histories, the results of medical examinations and laboratory tests, medical opinions, diagnosis and recommendations, first aid records, descriptions of treatments and prescriptions, employee medical complaints and related records, for employee who worked less than one year, provided that copies were given to the employee upon termination of employment:

RETENTION: 3 years after termination of employment.

NOTE: if copies are not given to the employee upon termination of employment, the retention specified in part “b” above, must be followed.

Employee personnel records, including but not limited to employee reviews, job change status sheets, correspondence, application for employment, resume and salary data

RETENTION: 6 years after termination of employment

NOTE: A master summary records of all persons hired, dates of employment and job title should be maintained permanently.

Employee training records documenting employee continuing education, training and development:

RETENTION: 6 years after termination of employment

Health and Life Insurance records for employee with or without dependent survivor

RETENTION: 3 years after termination of employment or dependent survivors coverage, whichever is later.

Investigative reports, including but not limited to statement of charges, transcripts of hearing, decision, letter of termination or resignation, record of appeal and correspondence:

RETENTION: 3 years after final decision rendered.

Manual of Procedures, or policies and standards

- a. involving major procedures, policies and standards affecting University operation, critical functions or issues of public visibility:

RETENTION: Permanent

- b. involving routine day-to-day procedures, policies and standards pertaining to the internal administration of the University

RETENTION: 6 years after superseded

- c. Employee attestation of knowledge of policy manual or other official policies and procedures

RETENTION: 3 years after superseded or upon termination of employment

Promotion/Tenure faculty lists

RETENTION:

Tenure evaluations and appeals

RETENTION: 50 years (per Dermot)

Unemployment insurance records

- a. Claim filed by employee, when claim is approved
RETENTION: 6 years after final payment

- b. Claim filed by employee, when claim is disqualified
RETENTION: 3 years after filing

- c. Claim payment reports
RETENTION: 6 years

Property and Equipment

American with Disabilities Act of 1973

- a. Self Evaluation records, required under American with Disabilities Act, regulations or requirements:

RETENTION: Permanent

- b. Inspection reports, reviews and audit (internal and external)

RETENTION: 6 years after building or facility involved is no longer in use

- c. Individual case records, including but not limited to complaint, charge or request for reasonable accommodation, medical reports, responses, records of appeals, correspondence, records documenting work done in response to complaint or request and documentation of final resolution

RETENTION: 3 years after resolution of case

- d. Master summary records of all cases under the Act

RETENTION: Permanent

Asbestos Management Plans, including plans listing all buildings leased, owned or otherwise use and whether they contain asbestos, dates of asbestos inspections, re-inspections, copies of analyses, responses, preventive measures taken and related records

RETENTION: 3 years after next required re-inspection or equivalent period after all asbestos-containing building material has been removed from a homogenous area.

Asbestos files on building, rehabilitation and reconstruction files when asbestos is installed, removed, encapsulated, applied, distributed or otherwise involved:

RETENTION: 30 years

Building permit and certificate of occupancy issuance records:

- a. Master summary record of applications for building, plumbing, electrical, demolition or related permits, or for certificates of occupancy granted:

RETENTION: Permanent

- b. When permit is granted

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RETENTION: 6 years after building no longer exists

- c. When permit is denied

RETENTION: 6 years after final decision

- d. Certificate of occupancy and application when not related to building permit application

RETENTION: 6 years after building no longer exists

Construction files, including but not limited to bids, specification, contracts, performance guarantees, inspection reports, and environmental impact statements

- a. Feasibility studies, successful bids, plans, specifications and designs, project description, in-progress and completion photographs, inspection reports, environmental impact statement, fiscal and other final reports, change orders and correspondence

RETENTION: 6 years after building or facility no longer exists or is no longer owned by University

NOTE: Appraise these records for historical significance prior to disposition. Records for important projects or historic structures have historical value and should be retained permanently. Contact archives for additional service.

- b. Supplementary documentation, including project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, and detailed construction specifications

RETENTION: 6 years after last entry

- c. Unsuccessful bids, to which contract not awarded

RETENTION: 6 years after expiration or termination of contract which is awarded or 6 years after final payment under contract, whichever is later.

- d. All records, when project is proposed but not undertaken

RETENTION: 6 years after last entry

- e. Contractors liability insurance records

RETENTION: 6 years after expiration of permit

Maintenance, testing, service, operational and repair records for buildings and facilities on their mechanical, electrical systems or other infrastructure

- a. Cumulative summary records

RETENTION: 6 years after building or facility no longer in use

- b. Individual detailed report or related records, such as work request, work order, personnel deployment record, preventive maintenance schedules and records of work completed, when already posted to cumulative summary record

RETENTION: 6 years

- c. Individual detailed report or related records, such as work request, work order, personnel deployment record, preventive maintenance schedules and records of work completed, when not posted to cumulative summary record

RETENTION: 6 years after building or facility no longer in use

- d. Log, maintenance schedule or similar record of ongoing activity

RETENTION: 6 years after last entry

- e. Information on specific equipments or component parts

RETENTION: 6 years after equipment or part no longer in use

- f. Information on maintenance personnel, vendors or contractors

RETENTION: 1 year after superseded or obsolete

- g. Requests for inspection, repair or service, when no work is performed

RETENTION: 1 year

Maintenance, testing, service, operational and repair records for equipment or vehicle, but not covering buildings or facilities other their mechanical, electrical systems or other infrastructure

- a. Cumulative summary record for vehicle or equipment

RETENTION: 6 years after vehicle or equipment no longer in use

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- b. Individual report when posted to cumulative summary record
RETENTION: 6 years
- c. Individual report when not posted to cumulative summary record
RETENTION: 6 years after vehicle or equipment is no longer in use
- d. Maintenance or repair log or similar record
RETENTION: 6 years after last entry
- e. Reports and studies relating to maintenance, testing, service, operation and repairs for equipment or vehicles
RETENTION: 6 years
- f. Request for inspection, repair or service, when no work is performed
RETENTION: 1 year
- g. Warranty and other specification records
RETENTION: 6 years after vehicle or equipment no longer in use
- h. Vehicle usage records
RETENTION: 6 years

Plans, maps, designs, architectural drawings, and photographs (official) for buildings or other facilities owned by the University,

- a. Final or “as built” plans, maps, designs, sketches, architectural drawings and photographs
RETENTION: Permanent
- b. Mechanical, electric and other detailed schematic drawings, not covered by part “a”, including detailed specifications not appearing on plans, maps, designs, sketches, architectural drawings
RETENTION: 6 years after building or facility no longer exists or is no longer owned by University

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- c. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies and other records

RETENTION: 6 years after completion of project

Property inventory records, covering buildings, facilities, vehicles, machinery and equipment, including “fixed assets” records

RETENTION: 6 years after superseded by updated inventory or 6 years after replacement, sale or discontinuance of property listed, whichever is sooner

Real property acquisition or sale file for property owned by the University including but not limited to copy of deed, copy of appraisal or valuation, copy of site or plot plan, photographs, recommendation or justification for acquisition or sale, approval for acquisition or sale, closing statement, memoranda and correspondence

- a. Copy of site or plot plan, photographs, and recommendation or justification for acquisition or sale

RETENTION: Permanent

- b. Other records in file, including but not limited to copy of deed, copy of appraisal or valuation, closing statement, approval for acquisition or sale, memoranda and correspondence

RETENTION: 6 years after property no longer owned.

- c. Master summary record recording acquisition or sale of property by University

RETENTION: Permanent

Public Safety

Building or facility security records, including but not limited to visitor logs and false alarm reports

RETENTION: 3 years

Campus safety records

- a. Annual security report (note to self; section 668.46 of 34 CFR)

RETENTION: Permanent

- b. Notice of availability of the annual security report and related records as distribute or made available to enrolled and prospective students and current and prospective employees

RETENTION: 3 years after issued, superseded or obsolete, whichever is later

- c. Crime statistics, including lists of crimes by location and relevant maps, other than those statistics included in the annual security report

RETENTION: 3 years

- d. Crime logs

RETENTION: 3 years

Communication Log recording each communication between caller and receiving unit:

RETENTION: 3 years

Disaster preparedness or crisis relocation records

- a. Official copy of plans

RETENTION: 3 years after superseded

- b. Background materials and supporting documentation used in preparation of plans

RETENTION: 3 years

Emergency medical training records, including defibrillator training,

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- a. Training and certification applications and lists of persons who have taken or need to take training

RETENTION: 0 after superseded or obsolete

- b. Summary record of training

RETENTION: 6 years after individual leaves service or student graduates, but no less than 7 years.

- c. Course materials, final or annual reports:

RETENTION: 7 years after course complete

Fire and building condition records, including but not limited to fire safety inspection reports, fire drill report, fire alarm records, fire inspection reports, fire investigation reports, structural safety inspection reports, building condition surveys and visual inspection reports

- a. Fire safety inspection reports prepared pursuant to Section 807-b, Education Law:

RETENTION: 3 years

NOTE: A master summary record of all inspections performed should be kept permanently.

NOTE: Although Section 807-b of the Education Law authorizes college officials to destroy these reports after three years, archives strongly urges that the “official” copies of these reports be retained for 21 years to meet possible legal needs.

- b. Structural safety inspection reports and building condition survey

RETENTION: 21 years

- c. Visual inspection reports (required by 8NYCRR 155.4)

RETENTION: 5 years

- d. Records other than reports and surveys covered by “a”, “b”, and “c,” above

RETENTION: 3 years

Reports of occurrences

- a. Incident of theft, arson, vandalism, property damage or similar occurrence:

RETENTION: 6 years

- b. Accident that occurred on campus

RETENTION: 3 years

Rescue and disaster response reports including responses to threats or hazards to the public, University facilities or vehicles due to natural, technological, or human-made circumstances and/or the discovery of possible explosives, pathogens or other hazardous substances, covering specific incidents

- a. Records of major disasters, including information on the response to the disaster, photographs, press clippings, property damage reports, personal injuries, and records relating to demolition and new construction, and correspondence

RETENTION: PERMANENT

- b. Records of other than “major” disasters

RETENTION: 3 years

NOTE: Specific records should be appraised for historical value and may warrant permanent retention based on the serious nature of the incident involved. Contact the archives for further help.

Videotape or other recording maintained for security purposes

- a. Videotape or other recording containing incident warranting retention for administrative or legal uses

RETENTION: 3 years

- b. Videotape or other recording not containing incident warranting retention for administrative or legal use

RETENTION: 0 after no longer needed

Student Records

Academic Records

Commencement Records

- a. Official copy of commencement program or other publication

RETENTION: Permanent

- b. Other commencement records, including but not limited to copies of speeches, press clippings and press releases, and event planning records

RETENTION: 6 years

NOTE: Appraise these records for historical significance prior to disposition. Contact archives for additional advice

Family Educational Rights and Privacy Act of 1974 (FERPA) and related legislation records of compliance concerning access to student education records and participation in surveys on or activities in designated areas

- a. Request for hearing on content of student education records, decision of hearing, and student statement on content of disputed record:

RETENTION: [Need to Determine]

- b. Record of requests for access to and disclosures of personally identifiable information from the student education records, as required by FERPA regulations

RETENTION: [Need to Determine]

- c. Request for nondisclosure of directory information or non-participation in surveys on or activities in designated areas

RETENTION: 1 year after request is terminated or is no longer valid

- d. Consent for records disclosure

RETENTION: 1 year after consent is terminated

- e. Waiver of right to inspect and review confidential letters and statements placed in student education records

DRAFT –Record Retention Policy

RETENTION: 1 year after waiver is terminated

- f. Directory Information Policy Statement

RETENTION: Permanent

- g. Annual or other notice of rights under FERPA or related legislation concerning access to student records or participation in surveys on or activities in designated areas

RETENTION: 3 years after issued or superseded or obsolete, whichever is later

Student academic records

- a. Student permanent academic record (transcript)

RETENTION: Permanent

- b. Change of grade documents, withdrawal authorizations, graduation certification, student roster and attendance verification records

RETENTION: 6 years

- c. Other student records including but not limited to academic action authorization (i.e. dismissals), employment placement records, records of internships served, academic honors

RETENTION: 6 years after graduation or last date of attendance

- d. Change in social security number record

RETENTION: 3 years

- e. Application for graduation, change of course (add/drop) records, credit/no credit authorization, name and/or sex change authorization, pass/fail request, registration form, and request by student for transcript

RETENTION: 1 year

Athletic Records

Athletic Scholarship file, including but not limited to applications, recommendations, financial statements, accounting data and correspondence:

RETENTION: 6 years

Athletic training records, including but not limited to records of training provided to individual athletes and staff:

RETENTION: 6 years after last entry

Gender equity in athletics records, including audit and self-evaluation records for male and female athletes and related records, including any records created pursuant to Title IX of the Education Amendments of 1972, codified in Sections 1681-1688 of 20USC, and Section 106.41 of 34CFR

RETENTION: 6 years

Lists of athletes or participants, records of competition and intramural athletics, and other records:

RETENTION: 6 years

Player recruitment/scouting file concerning recruitment of student athletes for college sports programs, including but not limited to scouting reports, lists of prospects, recruitment proposals and correspondence

a. For student athletes entering college:

RETENTION: 3 years after graduation or date of last attendance

b. For student athletes who did not enter college

RETENTION: 0 after no longer needed

Substance or alcohol abuse testing records for individual athletes, not included in student health services case record

a. Positive test results and related records

RETENTION: 6 years after last entry

b. Negative test results

RETENTION: 3 years

Counseling Services Records

Student counseling records, including but not limited to request for assistance relating to emotional, psychological, personal, social, academic, or placement and career planning concerns, and records of all services received from students:

RETENTION: 6 years

Disciplinary Records

Student disciplinary records, including but not limited to hearing records, suspension notice, correspondence and related records:

RETENTION: 6 years after academic year decision decided on

Student grievance records including but not limited to grievance, investigative records, hearing proceedings, decision rendered, student appeal, records of final decision and correspondence

RETENTION: 6 years after grievance resolved

Extra Curricular Activities

Student organization records, including but not limited to list of members or participants, records of activities, and other records of officially-supported organizations

RETENTION: 6 years

Housing Records

Off-campus rental records including lists of landlords and/or listings indication rooms available:

RETENTION: 0 after obsolete

Residency occupancy records including but not limited to room and board contracts and room assignments, and records pertaining to damage of dormitory equipment and furnishings:

RETENTION: 6 years after expiration of contract or room assignment

Miscellaneous Records

Admissions Records including but not limited to application, entrance examination and reports, letters of recommendation, transcripts, acceptance letters, evaluations and supporting documentation

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- a. For applicants who are accepted and attend

RETENTION: 6 years after graduation or date of last attendance

- b. For applicants who are accepted and do not attend and applicants who are not accepted

RETENTION: 2 years

Disabled student records, including but not limited to information on disability, correspondence, orders for special equipment and notes of contacts with counselors:

RETENTION: 6 years after graduation or date of last attendance

Parent’s consent for student to participate in, or request for student to be excused from a specific activity:

RETENTION: 1 year after end of school year

Proof of residence records for students

RETENTION: 6 years

Recruitment records, other than recruitment of individual student athletes, including but not limited to plans and strategies, lists of potential students, records of socio-ethnic composition of student-body, records of college planning workshops and visits of parents visiting

- a. If they apply for admission

RETENTION: 3 years

- b. If they do not apply for admission

RETENTION: 1 year

Scholarship Records

Scholarship records

- a. Individual scholarship file including but not limited to applications, list of eligible candidates, list of competition winners and alternates, recommendations, authorization for award, financial statements, accounting data, reports and correspondence

RETENTION: 6 years

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- b. List of scholarships awarded to students

RETENTION: Permanent

Tax Records

Employer’s copy of Annual Federal Tax Return (Form 940), Quarterly Federal Tax Return (Form 941E)

RETENTION: 4 years after tax paid

Employer’s copy of U.S. Information Return for Calendar Year (Form 1099), Withholding Tax Statement (Form W-2) or Transmittal of Wages and Tax Statements (Form W-3), or equivalent forms:

RETENTION: 4 years

Employee’s Withholding Exemption Certificate (W-4)

RETENTION: 4 years after superseding certificate is filed or employment is terminated.

Employer’s copy of New York State income tax records relating to employees:

RETENTION: 4 years after tax is paid

Tax exemption records, showing that University is exempt from paying sales, use or other taxes:

RETENTION: 1 year after superseded or obsolete