



Retention of University Records
DRAFT SCHEDULE

| TYPE OF RECORD | OFFICIAL REPOSITORY | DURATION |
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Academic Personnel

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| Academic search records | See Affirmative Action/Equal Opportunity Section | |
| Annual Conflict of Interest Disclosure Statements | Appropriate college officer | 3 years |
| Grievances | Appropriate college office | No cause findings: 3 years from determination Cause findings, permanent |
| Personnel files, appointment letters and forms | See Human Resources section | |
| Tenure or promotion dossiers | Appropriate college office | If action approved, 3 years; if tenure denied, 3 years from end of term appt |
| Trustee decisions regarding academic personnel and designated executives | Secretary of the Corporation | Permanent |

Accounting and Finance

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| Account reconciliations (balance sheet) | Appropriate department | 6 years |
| Accounts payable vouchers and attachments | Division of Financial Affairs | 6 years |
| Accounts receivable statements, centrally generated | Division of Financial Affairs | 6 years |
| Accounts receivable statements, centrally generated | Appropriate department | 6 years |
| Accounting reports (monthly reports), schedules of department balances, transaction statements, account analysis statements, monthly and year-to-date salary and wage statements | Division of Financial Affairs | 6 years |
| Annual financial reports and work papers | Division of Financial Affairs | Permanent |
| APPS invoices | Division of Financial Affairs | 6 years |
| Banking records, including deposit and withdrawal records, bank statements and reconciliation, voided and canceled checks | Division of Financial Affairs | 6 years |
| Billing records | Appropriate department | 6 years |

TYPE OF RECORD**OFFICIAL REPOSITORY****DURATION****Accounting and Finance can't**

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| Capital equipment records | Division of Financial Affairs | Life of asset; records of equipment purchased on federal funds must be retained for 3 years after final disposition |
| Cash receipts | Division of Financial Affairs | 6 years |
| DACE audit work papers | Division of Financial Affairs | 6 years |
| Depreciation records | Division of Financial Affairs | Life of Asset |
| Effort certifications | Division of Financial Affairs | 6 years |
| Indirect cost rate calculations | Division of Financial Affairs | 6 years |
| Inventories | Appropriate department | Life of Asset |
| Journal entries and back-up documentation | Division of Financial Affairs | 6 years |
| New account records and back-up documentation | Division of Financial Affairs | 6 years after account closing |
| Procurement card charge documentation | Business Service Center | 6 years |
| Subsidiary ledgers (AP, AR, etc) | Division of Financial Affairs | 6 years |
| Summary analysis reports, end of year (fund, source, function) | Division of Financial Affairs | 6 years |
| Trial balances | Division of Financial Affairs | 6 years |
| Transaction authority cards | Division of Financial Affairs | 6 years |
| Travel reimbursements and attachments | Division of Financial Affairs | 6 years |
| University audit work papers | University Audit Office | 6 years |

Affirmative Action/Equal Opportunity

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| Academic search plans and statements | For forms, Office of the Associate Provost; For search materials and documents supporting decision, appropriate department | 3 years |
| Academic search waivers | Appropriate department | For permanent waivers, 3 years from date of appt; for limited-term waivers, 3 years from satisfaction of subsequent search requirements or appt termination |
| Affirmative action programs | Office of the Associate Provost | Permanent |
| Conciliation agreements/Orders on Consent | Office of the Associate Provost | Permanent |

TYPE OF RECORD**OFFICIAL REPOSITORY****DURATION****Affirmative Action/Equal Opportunity con't**

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| Documents supporting other academic selection decisions (e.g., promotion, termination, compensation) | Appropriate department | 3 years from affection date of decision |
| Federal and state-required statistics and reports | Office of the Associate Provost | Permanent |
| Nonacademic search and hiring forms (Office of Workforce Diversity, Equity and Life Quality copies of requisition forms, applicant flow cards, CASS forms, search waivers, documentation of hiring decision forms) | Office of Workforce Diversity, Equity and Life Quality | 3 years from date of appt |
| Nonacademic search materials and documents supporting hiring selection decisions | Appropriate department | 3 years from date of appt |
| Sexual harassment complaints, investigations, and findings | Office of Workforce Diversity, Equity and Life Quality | No-cause findings, 3 years from determination Cause-findings, permanent |

Alumni Affairs and Development

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|---|---|---|
| Alumni records | Information Services, Alumni Affairs and Development | Permanent |
| Gift records | Information Services, Alumni Affairs and Development | 6 years for hard copy records Permanent for electronic records |
| Gifts of art | University Development | Permanent |
| Original gift letter agreements, signed by the President and donor | Office of University Counsel | Permanent |
| Original gift letter agreements, all others | Information Services, Alumni Affairs and Development | Permanent |
| Planned gifts (trusts, life income, agreements, annuities), real estate gifts | Office of Trusts and Estates and Planned Giving, Alumni Affairs and Development | Permanent |

Student Financial Services

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| Student loan records | Student Financial Services | 3 years after the loan has been repaid in full |
| Tuition and fee charges | Student Financial Services | 6 years |

TYPE OF RECORD**OFFICIAL REPOSITORY****DURATION****Construction**

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| As-built drawings | Dept of Construction Management | Permanent |
| Contracts and agreements | Dept of Construction Management | 6 years |

Corporate Records

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| Accreditation records | Office of the President | Permanent |
| Board of Trustee minutes | Secretary of the Corporation | Permanent |
| Bylaws | Secretary of the Corporation | Permanent |
| Charter | Secretary of the Corporation | Permanent |

Environmental Health and Safety

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| Evacuation drill records | Fire Protection and Emergency Services | 5 years |
| Fire protection systems records | Fire Protection and Emergency Services | 5 years |
| Fume hood testing records | Laboratory and Radiation Safety | 3 years |
| Hazardous waste disposal manifests and reports | Laboratory and Radiation Safety | 3 years |
| Incident reports | Fire Protection and Emergency Services | 5 years |
| Portable extinguisher training records | Fire Protection and Emergency Services | 3 years |
| Radiation dose reports | Laboratory and Radiation Safety | Permanent |
| Radiation safety training records | Laboratory and Radiation Safety | 3 years |
| Radioactive materials license and safety committee records | Laboratory and Radiation Safety | Permanent |
| Radioactive material receiving and inventory records | Laboratory and Radiation Safety | 3 years |

Human Resources

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| Employee personnel files (including application, resume, payroll, appointment/salary forms) | Office of Human Resources | 6 years after termination |
| Federal reporting requirements: welfare benefits and other fringe benefit plans (i.e., 5500-s) | Office of Human Resources | Permanent |
| Individual contracts of employment | Office of Human Resources | 6 years after termination |
| I-9 forms (faculty and staff) | Office of Human Resources | 3 years, or 1 year after termination (whichever is greater) |

TYPE OF RECORD**OFFICIAL REPOSITORY****DURATION****Human Resources con't**

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| Occupational injury or illness, records relating to | Office of Human Resources | 5 years |
| Performance appraisals | Departmental personnel files | 3 years after separation |
| Search committee records, including employment applications, resumes, and all applicant search materials | Departmental personnel files | 3 years |
| Union agreements | Office of Human Resources | Permanent |
| Volunteer registration forms, parental consent forms, and agreements | Appropriate department | 3 years |
| Workers' compensation claims and insurance policies | Office of Human Resources | 18 years |

Insurance

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| Certificates of insurance, indemnification agreements, hold-harmless agreements, contracts | Office of Risk Management and Insurance | 6 years after expiration |
| Insurance policies (liability, property, and other policies) | Office of Risk Management and Insurance | Permanent |
| Incident reports, accident reports | Office of Risk Management and Insurance | 4 years after report date |

Legal

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| Consent orders | Office of University Counsel | Permanent |
| Court orders | Office of University Counsel | Permanent |
| Judgments | Office of University Counsel | Permanent |
| Releases | Office of University Counsel | Permanent |
| Settlements | Office of University Counsel | Permanent |

Medical

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| Student Health services for regulatory required medical surveillance and monitoring records | Student Health | 30 years after individual leaves the University |
| Student Health Services patient records (non-regulatory) | Student Health | 6 years |
| Outside services for regulatory required medical surveillance and monitoring records | Department office | 6 years |

TYPE OF RECORD**OFFICIAL REPOSITORY****DURATION****Patent and Trademarks**

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| Original executed invention disclosure forms | | Permanent (archives) |
| Original executed US Patent and Trademark Office (USPTO) assignment forms | | Permanent (archives) |
| Original letters, patents | | Permanent (archives) |
| US patent/application correspondence papers | | 1 year after issuance or abandonment |
| US patent/application filing papers | | Permanent (CRF E-files) |
| Original registered trademarks | | Permanent (archives) |
| Trademark-related work papers | | Permanent (CRF E-files) |
| Original executed licensing agreements | | Permanent (archives) |
| Licensing agreement-related work papers | | 6 years from expiration or termination of agreement |
| Royalty records | | Life of Technology Patent or TM plus 6 years |

Payroll

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| Annual payment records (W-2, alpha lists, employee transaction lists) | University Payroll Office | Permanent |
| Imputed income records (auto usage, CCTS) | University Payroll Office | 6 years |
| Information returns filed with federal and state authorities (W-2, 941, 1042s, etc) | University Payroll Office | 6 years |
| Leave-reporting documents | University Payroll Office | 4 years |
| Payroll deduction authorization forms (W-4, DBD, CFCU bonds) | University Payroll Office | 5 years after employment ends |
| Payroll vouchers | University Payroll Office | 3 years |
| Record of payments and deductions (payroll registers, deduction lists, adjustments) | University Payroll Office | 5 years |
| Time cards, student | Appropriate department | 3 years after the date that all student loans are paid |
| Time cards, other | Appropriate department | 3 years |
| Wage assignment orders | University Payroll Office | 5 years after closed |

TYPE OF RECORD**OFFICIAL REPOSITORY****DURATION****Benefits**

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| Employee eligibility for benefits | Office of Human Resources | 6 years after death of eligible employee and beneficiary |
| Employee personal information (name, address, SSN, period of employment) | Office of Human Resources | 6 years after death of eligible employee and beneficiary |
| Employee service records | Office of Human Resources | 6 years after death of eligible employee and beneficiary |
| Plan administrator setting forth authority to pay, Records of | Office of Human Resources | Permanent |
| Benefits paid to employees or their beneficiary | Office of Human Resources | 6 years after death of eligible employee and beneficiary |
| Benefit plans and all attached amendments | Office of Human Resources | Permanent |
| Benefit plans filed with the Dept of Labor and the IRS | Office of Human Resources | permanent |

Planning and Budget

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| Plans and projections | Office of the Treasurer | Permanent |
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Public Safety

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| Accident reports | Office of University Police | 4 years after report date |
| Crime reports | Office of University Police | 4 years after report date |
| Property damage reports | Office of University Police | 4 years after report date |

Purchasing

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| Purchase orders, contracts, agreements | Purchasing | 6 years |
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Real Property

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| Documents for leases, licenses, construction contracts and other contracts of a temporary nature, valued at less than \$50,000 | Office of Real Estate | 6 years after expiration of lease or contract term |
| Property deeds, easements, licenses, rights of way, rights of first refusal, remainder interests, mortgages | Office of Real Estate | Permanent |
| Property tax returns filed with taxing jurisdiction | Office of Real Estate | 6 years |

TYPE OF RECORD**OFFICIAL REPOSITORY****DURATION****Real Property con't**

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| Title insurance policies | Office of Real Estate | 10 years after disposal of property |
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Sponsored Projects Contracts, Grants

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| Animal welfare projects | Office for Research | 3 years or contract period |
| Grant and contract applications, proposals, and supporting documentation | Office for Research | 6 years after close of grant (State?) 3 years after close of grant (for federal grants and contracts) |
| Human subject records | Office for Research | 3 years or contract period |
| Recombinant DNA research records | Office for Research | Permanent |

Tax

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| Assets; acquisition/disposition | See Accounting and Finance section | |
| Depreciation schedules | See Accounting and Finance section | |
| Excise tax returns | Division of Financial Affairs | 6 years |
| Fringe benefit returns | See Human Resources section | |
| Income tax returns | Division of Financial Affairs | Permanent |
| Information returns (990, 1099, 8282, 90.22, etc.) | Division of Financial Affairs | Permanent |
| Payroll tax returns (W-2, SS, unemployment tax) | See Payroll section | |
| Benefit plan tax returns | See Benefits section | |
| Property tax returns | See Real Property section | |
| Sales tax returns | Division of Financial Affairs | 6 years |