University of Scranton
Records Management and Retention Policy

September 2011

Office of the General Counsel

Records Management and Retention Policy

Executive Sponsor: General Counsel
Responsible Office: General Counsel
Originally Issued: 2008
Revised: September 2011

I. Policy Statement

The University of Scranton requires that different types of records be retained for specific periods of time, and has designated official repositories for their maintenance. These records must be managed according to procedures that are outlined in this document. This policy is applicable to every division, department, and office on campus with the exception of the Faculty Affairs Council.

II. Reason for Policy

The University is committed to effective records retention to preserve its history, meet legal standards, optimize the use of space, minimize the cost of record retention, and ensure that outdated and useless records are destroyed. All records created, received, or maintained by University departments during their operations belong to the University and are retained and disposed of according to this policy. University records must be kept until the stated minimum retention period has elapsed.

III. Entities Affected By This Policy

This institutional policy is applicable to every division, department, and office on campus with the exception of the Faculty Affairs Council.

IV. Website Address for this Policy

This policy can be located at www.scranton.edu/governance and http://academic.scranton.edu/organization/rmr/default.shtml.

V. Related Documents, Forms, and Tools

Those responsible for adhering to this policy should consult the University's Records Retention Schedule (Appendix C of this document), the University's Data and Information Classification Policy.

VI. Contacts

For policy clarification and interpretation, contact the University Archivist at 941-6341. For questions about the policy process, contact the Office of Planning & Institutional Effectiveness at 941-6567. For particular questions about records, data, or other materials included or addressed in the Records Retention Schedule, refer to the responsible department identified in the Schedule. For information regarding security of data and information contained in electronic records, contact the Information Security Office at 941-4226.

VII. Definitions

Active Records: Documents including both written and printed matter, books, drawings, maps, plans, photographs; microfiche; films, sound and video recordings; computerized data on disk or tape; or copies thereof made or received by any academic or administrative office of the University in connection with the transaction of University business, and retained by such office as evidence of the activities of the University or because of the information contained therein.

Administrative Value: The usefulness of records in current or future University operations.

Archival Records: University records which are inactive and are not required to be retained in the office in which they originate or are received. These records have permanent or enduring legal, fiscal, administrative, research or historical value and therefore should be retained and preserved indefinitely.

Correspondence: Any form of written communication sent or received in the course of the business of a department. The term includes letters, memos, notes, e-mail, faxes, etc.

Creator: The person, department, or office that creates, receives, or assembles records.

Data Steward: Department head or designee charged with implementation of this policy regarding records of his or her department, program, and/or committee.

Disposable Records: University records which have temporary value, and in consequence thereof, may be destroyed after the lapse of a specified period of time, or after the occurrence of some act which renders them valueless.

Disposition: The actions to be taken at the end of the active life of a record. Such dispositions may include 1) retain permanently in the office of creation; 2) transfer to inactive storage; 3)transfer to remote storage; 4) transfer to the University Archives; 5) destroy after the legal retention period.

Fiscal Value: Required for budget development, financial reporting, or audit purposes.

Inactive Records: Records which are no longer used on a regular basis.

Legal Value: Contain or constitute evidence of the University's legally enforceable rights and obligations.

Memorabilia: Items of historical value such as programs, posters, brochures, clippings, buttons, flags, stickers, etc.

Official Repository: The department or office designated as having responsibility for retention and timely destruction of particular types of official university records. Such responsibility is assigned to the data steward.

Research or Historical Value: Document the purpose, growth, history, services, programs, and character of the campus.

Retention Period: The minimum time a record must be kept by law, custom, or the custodians of the record.

University Archivist: The individual responsible for 1) designating which official University records are archival; and 2) effecting the transfer of archival records from the office in which they originated or were received to the University Archives at such times and in the manner and form prescribed by the Archives and subject to the appropriate retention schedule referenced in this document.

VIII. Responsibilities (required)

General Counsel: responsible for the maintenance of this policy and determinations of the relevant items identified in section IX: Procedures.

University Archivist: responsible for the official maintenance of official University records and managing the archival process, along with determination of the relevant items identified in section IX: Procedures.

Data Steward: responsible for the implementation of this policy within their home department.

Official Repositories, Departments, and Offices: maintaining University records as required by this policy.

IX. Procedures

Managing Official University Records

Departments and offices that maintain university records are called “official repositories.” These administrative units are responsible for establishing appropriate record retention management practices. Each department head or designee (data steward) must:

- implement the unit’s and/or office’s record management practices;
- ensure that these management practices are consistent with this policy;
- educate staff within the administrative unit in understanding sound record management practices, including protection of official records against misuse, misplacement, damage, destruction, or theft;
- implement safeguards against accidental or deliberate deletion or alteration of electronic records;
- preserve inactive records (see: Section VII, Definitions) of historic value, and transfer those records to the University Archives;
- ensure that access to confidential files is restricted, whether in the original department or after transfer to the University Archives;
- implement appropriate access and audit controls on electronic record data;
- destroy inactive records that have no archival value upon passage of the applicable retention period

Preserving or Disposing of Official University Records

When the prescribed retention period (see Records Retention Schedule) for official university records has passed, a determination of whether to preserve or dispose of the documents must be made. The University Archivist, who has the authority to designate which records are archival, should be consulted when deciding if a record is of historical value to the University (see Appendix A, Archival Record Categories).

1. *Archival Records*

If it is determined that the records are archival, they should be transferred to University Archives, located in Room 400 of the Weinberg Memorial Library (x6341). Call the University Archivist to:

- Review records to be sent to University Archives.
- Request archival boxes (1 full file drawer = 2 boxes).
- Request a transfer form.
- Schedule a time for boxes to be picked up.

2. *Non-archival Records*

If it is determined that it is appropriate to dispose of the records, destroy them in one of the following ways:

- Recycle non-confidential paper records.
- Shred or otherwise render unreadable confidential records.
- Erase or destroy electronically stored data.

Caution: Electronic records generated and maintained in university information systems or equipment (including mainframe, mini, and micro computing/storage systems) should be periodically reviewed to ensure that these requirements are met. Examples of common electronic records include word processing documents, electronic mail, databases, and web sites. Refer to the University's Data and Information Classification Policy and the Information Security Office for guidance.

Electronic records must be captured within a reliable record management application. Records must include all essential data and metadata describing the content and structure of the record and the context of creation. Accurate links must be maintained between all related paper and electronic and record elements.

Electronic records must be evaluated by Information Resources staff to determine retention requirements. Electronic record management applications must provide for automated retention and destruction of electronic records in accordance with disposition schedules. Data stewards, in consultation with appropriate Information Resources staff, must develop strategies for long-term preservation of electronic records. These strategies must:

- include provisions for guaranteeing availability and integrity of electronic records through system migration
- mitigate the risk of data inaccessibility due to hardware obsolescence, storage medium deterioration, or software dependence
- include appropriate policies and procedures for data backup

Electronic records in jeopardy of permanent, unavoidable access loss should be converted to paper or other human readable format and preserved accordingly.

University records (regardless of the storage medium) can be disposed of upon reaching the minimum retention period stated in this policy, provided the department does not need the records for future administrative, legal, research/historical, or fiscal purposes.

- administrative value: contain information applicable to current or future university operations.
- legal value: contain evidence of legally enforceable rights or obligations of the
- University.
- research or historical value: document the purpose, growth, history, services, programs, and character of the campus.
- fiscal value: required for budget development, financial reporting, or audit purposes.

The data steward is responsible for performing, at least annually, a review to determine the value or usefulness of departmental records. During this review, the data steward should identify and designate for disposal (destruction or transfer to an archive) the records with elapsed retention periods (time maintained in office plus time in inactive records area) that are no longer useful. By August 31 of each year the data steward will have completed the yearly records review and will have sent written confirmation (by memo or e-mail) to the University Archives (see Appendix B, Flow Chart). If the timing of the records review specified in Appendix C is difficult for a department to comply with, the data steward should contact the Library's Assistant Dean.

Confidential Records

The purpose of these guidelines is to define confidential records; strengthen safeguards against the unauthorized or accidental disclosure of confidential records and information; and to define appropriate measures for reasonable care in the disposal of confidential information, including its protection during storage, transportation, handling and destruction.

1. The following types of records are absolutely confidential:

    (a) individual education records of living students or living former students, as defined by the Family Educational Rights and Privacy Act of 1974 (FERPA), as amended, unless the student or former student grants access in writing or unless one of the exceptions contained within FERPA applies;

    (b) individual employment records of living current or former faculty members, administrators or other staff members, including records which concern hiring, appointment, promotion, tenure, salary, performance, termination or other circumstances of employment, unless the faculty member, administrator, or staff member grants access in writing;

    (c) records that include "protected health information" as the same is defined by the Health Insurance Portability and Accountability Act of 1996 (HIPAA), 42 U.S.C. 1171 et seq. and regulations promulgated thereunder;

    (d)records that include "nonpublic personal information" protected under the safeguarding rules of the Gramm-Leach-Bliley Act of 2000 (GLBA).

    (e) other records where usage might constitute an invasion of privacy;

    (f) records the use of which has been restricted by contract;

    (g)any other records with specific regulatory confidentiality requirements.

2. The following types of records generally will be treated as confidential:

    (a) administrative records of the University for twenty-five years from date of their creation, with certain exceptions, such as those which must be open in conformance with law;

(b) records of a sitting administration;
(c) records the disclosure of which might expose the University to legal liability.

Recommended Procedures for Confidential Destruction

1. Retention Period: Only those records retained for a period of time equal to or greater than the applicable retention schedule may be disposed of in accordance with these guidelines. The retention schedules may be viewed at:
http://academic.scranton.edu/organization/rmr/rrsad.shtml.

2. Suspension of Records Destruction in the Event of a Claim, Lawsuit, Government Investigation, Subpoena, Summons or Other Ongoing Matters. Upon service of legal process (subpoena, summons or the like), or upon learning of an investigation or audit, or if a claim is made, whether formal or informal, or a dispute arises, the records retention schedules referenced above shall be suspended and records related to the legal process, claim, dispute, investigation or audit should not be destroyed.

Record retention periods may be increased by government regulation, judicial or administrative consent order, private or governmental contract, pending litigation or audit requirements. Such modifications supersede the requirements listed in this policy. Suspension of record destruction required by any of these reasons will be accomplished by a notice sent out to affected units by the Office of General Counsel, the Internal Auditor, the Finance Division, or the Office of Research Services.

- **Note:** No document list can be exhaustive. Questions regarding the retention period for any specific document or class of documents not included in these tables should be addressed to the Office of General Counsel.

- **Caution:** Departments and units that are not official repositories and that retain duplicate or multiple copies of these university records should dispose of them when they are no longer useful.

3. Destruction Authorization

Data stewards are responsible for authorizing the disposal of records. When the records to be disposed of are confidential, the services of the document destruction service with which the University has contracted, Shred-Doc, should be used. No documents that contain sensitive or confidential information should be placed in the trash without being shredded.

4. Disposal of Electronic Records, Film, and Tapes

Electronic or machine-readable records containing confidential information require a two-step process for assured, confidential destruction. Deletion of the contents of digital files and emptying of the desktop “trash” or “waste basket” is the first step. It must be kept in mind, however, that reconstruction and restoration of “deleted” files are quite possible in the hands of computer specialists. With regard to records stored on a hard drive, it is recommended that commercially available software applications be utilized to remove all data from the storage device. When properly applied, these tools prevent the reconstruction of any data formerly stored on the hard drive. With regard to floppy disks, CDROMs and back-up tapes, it is recommended that these storage devices be physically destroyed.

Film, audio and videotapes containing confidential information should also be physically destroyed, not simply thrown away. It is possible to overwrite audio and videotapes with other, non-confidential sound and images, but if this is done, it is recommended that it be done by an authorized member of the staff in the office of origin.

5. Destruction Record
A destruction record is an inventory describing and documenting those records, in all formats, authorized for destruction, as well as the date, agent, and method of destruction. The destruction record itself should not contain confidential information. It is anticipated that in most cases only one copy of the destruction record will be retained, in the office of origin. The destruction record may be retained in paper, electronic, or other formats.

Policy Review
This policy and the record retention schedule will be reviewed annually for the purpose of making any necessary revisions in light of technological developments, changes in legal requirements, or changes in administrative practice. The General Counsel will be responsible for the annual review and update of the policy. Each unit's data steward will be responsible for transmitting record retention updates pertaining to his or her own unit to the Office of General Counsel for inclusion in the schedule.

X. Appendices

Appendix A: Archival Record Categories

Appendix B: Flow Chart

Appendix C: Records Retention Schedule

Appendix A: Archival Record Categories

Special Collections and the University Archives located in Room 400 in Weinberg Memorial Library (x6341) is the primary repository on campus for records of permanent historical, administrative, and legal value. The following list provides general guidelines of the types of records that the University considers to be archival. Records of this sort should not be discarded or destroyed without consulting the University Archives first. This list is not comprehensive. Additional materials might be candidates for archival storage. The Archives documents the administration and the functions of the University by collecting the records produced by the president, vice presidents, upper level administrators, schools and colleges, academic departments and programs, research centers, the library, committees, boards, councils and other governance bodies. These records are the primary evidence of The University of Scranton's history and activities and constitute the permanent historical record of the University.

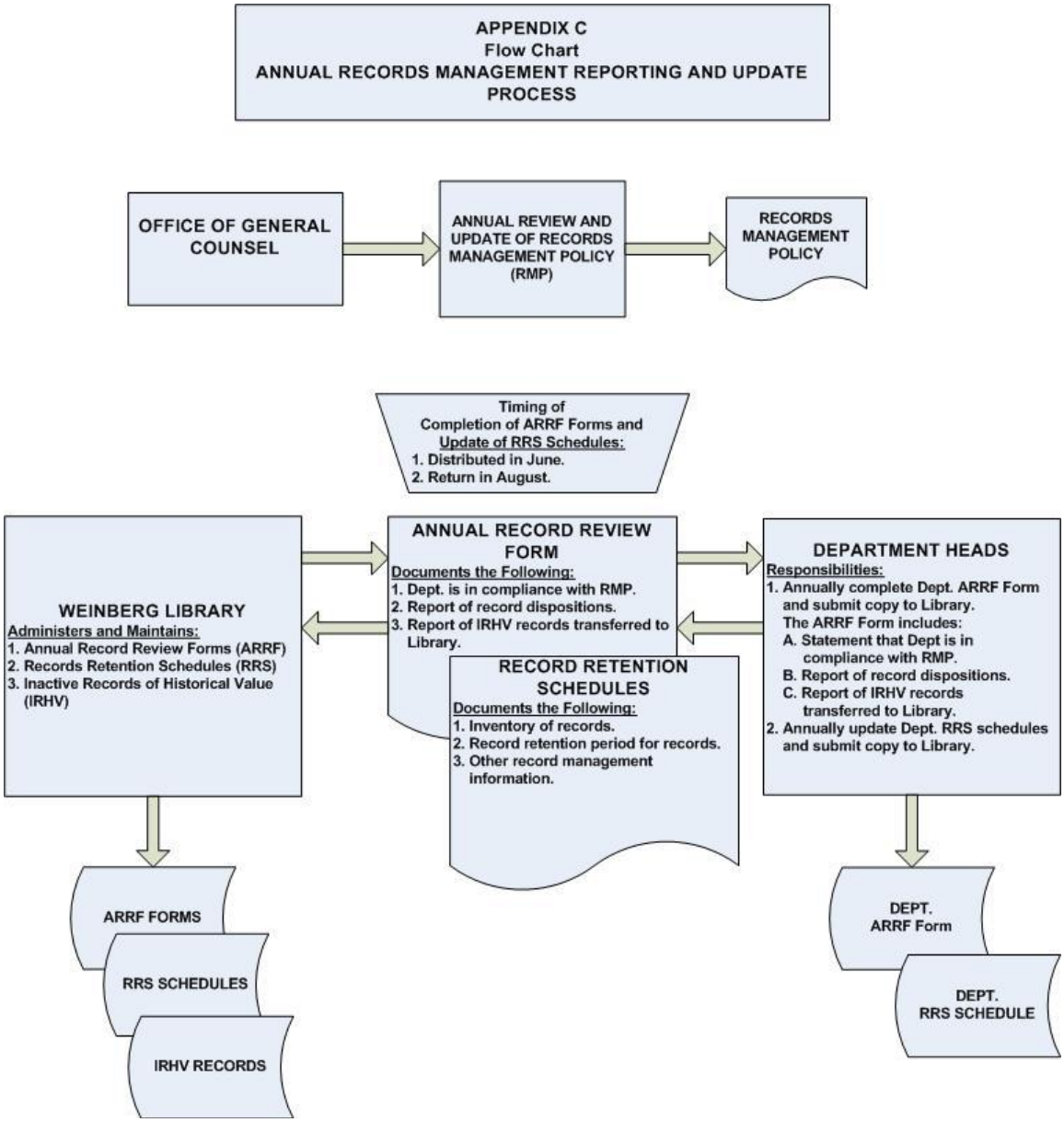
- Correspondence
- Constitutions and by-laws
- Topical/subject files
- Meeting agendas, minutes, and other committee materials
- Planning documents
- Accreditation records
- Policy and mission statements
- Reports, summaries and surveys
- Procedures manuals
- Publications
- Promotional and outreach materials
- Grant and project files
- Event records
- Research records
- Teaching and curriculum materials
- Press releases
- Photographs
- Video and audio recordings

Other records such as student records and employee records contain confidential information and should remain with their appropriate departments. Records of Faculty can be suitable for permanent status. The following is a brief list of relevant faculty records.

- correspondence of a substantive nature, including e-mail
- lecture notes and curriculum materials, speeches
- records of departmental or university-wide activities
- research-related records
- bibliographies, vitae, photographs, films, and audio and video recordings

Please contact Michael Knies at Kniesm2@Scranton.edu or x6341 with questions.

Appendix B: Flow Chart



Appendix C: Records Retention Schedule

University of Scranton
Records Retention Schedule

Record Category	Retention Schedule	Responsible Department
Admissions Records	For applicants who did not enroll, 2 years from start of application term. For students who enrolled, for duration of permanent file.	Admissions; CGCE Registrar
Grade Records	Permanent	Registrar
Master Class Schedules	Transfer to Archives after 2 years; permanent	Registrar
Degree Audit Records (for graduated students)	5 years after date of last attendance	Registrar; CGCE
Enrollment Statistics	Transfer to Archives after 2 years; permanent	PAIRO
International Student Forms (I-20)	5 years after graduation or date of last attendance	International Student Office
Student Academic Files (departmental)	5 years after graduation	Registrar; CGCE
Transcript Requests	1 year from date of request	Registrar
Academic Code of Honesty Violations	5 years	Deans' Offices
Center for Teaching and Learning Excellence (CTLE) files	5 years after last service	CTLE
Waivers and Releases of Claims – Academic Student Travel	3 years from end of trip	the academic department that gathered the releases and/or sponsored the trip
Academic Faculty and Other Records		
Faculty Senate Meeting Minutes	After 1 year, transfer to Archives	Faculty Senate President
Full-Time Faculty Promotion and Tenure Records, Tenure Review Records, Records of Paid Leaves & Stipends	Permanent. Five years after a full-time faculty member leaves the file is scanned to a disk and stored electronically; the paper file is destroyed	Provost's Office
Part-Time Faculty Records; including original transcripts, employment application and vitae	Records are retained until part-time faculty member has not taught for 5 years; they are then destroyed	Deans' Offices
Dean's Conference Minutes	Permanent	Deans' Offices
Academic Search Records	3 years	Academic Departments

Academic Department Meeting Minutes	3 years	Academic Departments
Academic Administrative Search Records (i.e. Deans, Associate Deans, Associate Provost)	3 years	Provost's Office (except for Provost search documents, which are sent to Human Resources)
Grievances	No cause findings, 3 years from determination. Cause findings, permanent	Provost's Office
Collective Bargaining Agreements	Permanent (one copy of each of past agreements)	Provost's Office
Chairperson election forms; chairperson compensation files	Permanent	Provost's Office
Faculty travel applications and records of awards	Permanent part of individual faculty member's file	Provost's Office
Academic Accreditation Documents	Permanent	Provost's Office
Provost Committee Files: Faculty Handbook, Faculty Personnel, Academic Policy Committees, Faculty Development Board, Board on Rank and Tenure	Permanent; retired to storage in Archives after 3 years	Provost's Office
Commencement Files	Permanent; retired to storage in Archives after 3 years	Provost's Office
Correspondence, Financial Accounts, Budget Accounts, University of Success Records	5 years	Library
Animal Welfare Records	3 years after completion of research or other activity	Office of Research Services (ORS)
Human Subject Records	3 years after completion of research	ORS
Grant and Contract Applications, Proposals & Supporting Documentation	3 years from the date the annual FSR is submitted; for financial, statistical and other records, 3 years from submission of Final Project Report	ORS
Student Affairs Records		
Student Publications	Transfer to Archives as distributed; permanent	Student Affairs
Counseling Center Files	7 years after last scheduled appointment	Counseling Center

Student Health Services Files	7 years after last scheduled appointment	Student Health Services
Student Groups and Organizations	Permanent	Student Affairs
Student Handbooks	Transfer to Archives as distributed; permanent	Student Affairs
Judicial System Sanctions	12 months after student graduates or withdraws; permanent if record of suspension or expulsion	Judicial Affairs Office
Student Housing Contracts	5 years	Residence Life
Team Rosters, Athletic Contest Scores and Statistics; Media Releases and Photo Publications	Transfer to Archives as distributed; permanent	Athletics
Athletic Injury Files	7 years	Athletics/Sports Medicine
Student-Athlete Forms	7 years	Athletics/Sports Medicine
Accident/Incident Reports	7 years	Athletics/Recreation
Career Services Files	4 years after the last date of service	Career Services
Waivers and Releases of Claims – Non Academic Student Travel	3 years from end of trip	the Student Affairs department that gathered the releases and/or sponsored the trip
Instrument Records, Administrative Records	5 years	Performance Music
Music Library, Historical Programming Records	Permanent	Performance Music
Alcohol Registration Forms, Student Leadership Position Interviews, Student Staff Interviews, Budgets, Reports	4 years	Student Activities and Orientation
Mission and Ministry Records		
Ministry Files, Office Finance, Search Retreat	Indefinite	University Ministries
Personnel Files, Personnel Information	6 years after employment ends	University Ministries
Student Worker Records(budget, time-entry, payroll), Drivers' Training Information, Retreat Registration Cards	1 year	University Ministries
Community Outreach Budget	4 years	Community Outreach
Community Outreach Personnel Information	3 years after employment ends	Community Outreach
Community Outreach SJLA	1 year	Community Outreach

Time Sheets		
Current International Service Program Applicants, Work Orders	1 year	International Service Program
International Service Program Alumni Records	Permanent	International Service Program
International Service Program Evaluations, Scholarship/Fellowship Information	3 years	International Service Program
Waivers and Releases of Claims – Ministry Student Travel	3 years from end of trip	the Ministries department that gathered the releases and/or sponsored the trip
Equity and Diversity Records		
Affirmative Action Plan	2 years	Equity & Diversity
Sexual Harassment Complaints, Investigations, and Findings	No cause findings, 3 years from determination; cause findings, permanent	Equity & Diversity
Employee Requests for Reasonable Accommodations	2 years from making the record or taking the personnel action. When a charge or lawsuit is filed, all relevant records must be kept until final disposition.	Equity and Diversity
Planning and Information Resources Records		
Surveys: Assessment	10 years for datasets; 3 years for supporting materials	Institutional Research Office
Surveys: Institutional Research (IPEDS, PDE, consortia)	Permanent-paper copy. Transfer to archives after Middle States Self Study (10 year cycle)	Institutional Research Office
CDS, Fact Books, Enrollment Reports, Graduation Reports		
CDS, Fact Books, Enrollment Reports, Graduation Reports	Permanent-paper copy. Transfer to archives after Middle States Self Study (10 year cycle). Permanent electronic datasets	Institutional Research Office
Enrollment Statistics (STAT01 reports)	Permanent. Transfer to archives after Middle States Self Study (10 year cycle)	Institutional Research Office Planning & IE Office

Studies/Reports: Assessment, Benchmarking, Environmental Scans, Databriefs, Academic Profile, Climate Study. CAP, Strategic Plans, Tactical Plans	Permanent. Transfer to archives after Middle States Self Study (10 year cycle)	Planning & IE Office ; Institutional Research Office
Middle States: Substantive Changes, MSIP, PRR, Self Study, Statement of Accreditation, Steering Committee Minutes & Academic Program Review, Accreditation Documents (also see Provost).	Permanent. Transfer to archives after Middle States Self Study (10 year cycle)	Planning & IE Office
Planning Committee Minutes	Permanent. Transfer to archives after Middle States Self Study (10 year cycle)	Planning & IE Office
Royal Card and Telephone Files	1 year, then transfer to Diversified Storage	Network Resources
Off-Campus Telephone Files, Verizon Wireless Files	3 years	Network Resources
Pinnacle, Voice Mailbox Data	2 years (electronic)	Network Resources
Auxiliary System Files, Hardware Tracking System, Records of Servers and Peripherals	5 years	Systems and Software
General Counsel Records		
General Counsel Records		
Agreements and Contracts	Duration of contract including all renewals, then put in closed files	General Counsel
Real Estate files (deeds, title insurance policies, agreements of sale, settlement statements)	Permanent, unless property is sold	General Counsel
Sworn Police Officers	1 year after the officer is no longer employed here	General Counsel
Patents and Trademarks	Permanent	General Counsel
Corporate and Governance Records		
Articles of Incorporation and Bylaws	Permanent; amended from time to time	President's Office (current version); Archives (prior versions)

Minutes of Board of Trustees Meetings	Permanent	President's Office (1985 on); Archives (prior years)
Minutes of Board Committee Meetings	Permanent	President's Office
Honorary Degree Files	Permanent	President's Office
University Council Meeting Minutes	After 1 year, transfer to Archives	University Council Chairperson
Human Resources Records		
Individual Employee Files (including application, resume, payroll, appointment/salary forms)	6 years after employment ends. When a charge or a lawsuit is filed, all relevant records must be kept until final disposition.	Human Resources
Federal Reporting of Fringe Benefit Plans (form 5500)	6 years after employment ends	Human Resources
Individual Employment Contracts	3 years after employment ends	Human Resources
Master Salary Records/Files	5 years (electronic)	Human Resources
Vets 100 Report	1 year (electronic)	Human Resources
PA New Hire Reports	3 years (electronic)	Human Resources
Health Insurance (HIPAA) Records	6 years	Human Resources
I-9 Forms (Faculty and Staff)	3 years, or 1 year after end of employment (whichever is greater)	Human Resources
Occupational Injury or Illness Records	5 years following the end of the calendar year they cover.	Public Safety
Performance Evaluations		Human Resources
Performance Review Records	3 years after end of employment. When a charge or a lawsuit is filed, all relevant records must be kept until final disposition.	Human Resources
Search Committee Records	3 years	Human Resources
Workers' Compensation Files	5 years	Human Resources
Applicant and Employment Logs	1 year	Human Resources
Non-exempt Time Cards	3 years	Payroll
Family Medical Leave Act Records	3 years	Human Resources
Medical Records	1 year. If related to FMLA, 3 years	Human Resources

Applicant Flow Information	1 year. If adverse impact discovered, records kept until 2 years after adverse impact is eliminated. When a charge or a lawsuit is filed, all relevant records must be kept until final disposition.	Human Resources
Hiring Records (resumes, offers and hiring records, job advertisements, promotion or training opportunities)	1 year (paper)	Human Resources
Benefit-related Records (summary plan descriptions, plan determination letters, benefit billing records, pension records and correspondence)	6 years (electronic for summary plan description; all other paper)	Human Resources
Short-Term Disability Records	1 year. If related to FMLA, 3 years	Human Resources
Records of Employee Disputes	3 years	Human Resources
Employment Actions (promotions, demotions, transfers, layoffs/recalls, rehires, hires, separations, test results)		
Employment Actions (promotions, demotions, transfers, layoffs/recalls, rehires, hires, separations, test results)	2 years from making record or taking action. If adverse impact discovered, records kept until 2 years after adverse impact is eliminated. When a charge or a lawsuit is filed, all relevant records must be kept until final disposition	Human Resources
Medical Exams	30 years	Human Resources
Financial Records		
Board Audit Reports and Management Reports	7 years	Vice President for Finance/Treasurer
Agreements, Lines of Credit, Letters of Credit, Liquidity Facilities	7 years	Vice President for Finance/Treasurer
Bond Issue Document Books	20 to 40 years – at least the life of the bonds	Vice President for Finance/Treasurer

Financial Committee Minutes (Financial Management Committee, Committee on Responsibility in Investing, Mid Atlantic Catholic Risk Management Group, Capital Facilities Committee)	5 years, then transfer to Archives	Vice President for Finance/Treasurer
Insurance Records (Policies, Claims, Art Collection Records, Auto Fleet and Insurance Consortium Files)	5 years after the insurance is in effect	Vice President for Finance/Treasurer
Investment Advisor/Manager Agreements and Reports	7 years	Vice President for Finance/Treasurer
Real Estate Tax Files and Voluntary Contribution Files	Permanent	Vice President for Finance/Treasurer
Tuition and Fees Records	5 years, then transfer to Archives	Vice President for Finance/Treasurer
Internal Audit Reports and Supporting Documents	10 years for reports; 3 years for supporting documentation	Internal Auditor
Grant Documents	3-5 years	Grant Accountant
Financial Analysis Files, Reports and Supporting Documents		
Financial Analysis Files, Reports and Supporting Documents	10 years	Financial Analyst
School as Lender Files	7 years	Financial Analyst
Student Receivables	7 years	Bursar
Check Vouchers, Travel Expense Reports, and Supporting Documents	7-10 years per direction of Comptroller	Budget Manager
Budget Reports and Input Sheets from Departments Used to Build Budget	7-10 years	Budget Manager
Payroll Processing Records, Payroll Interface Reports, Taxes and Miscellaneous Deductions Files, Employee Payroll Files, Pension and Tax Shelter Files, Medical Files, COBRA Files, Faculty Payroll Files, and Faculty Compensation Forms	10 years	Payroll Office

Financial Data with supporting Documentation. This includes Financial Statements; Federal and State Returns; reports to third parties such as IPEDS; NACUBO; HEGIS; Banks; Rating Agencies, Peer Institutions; etc. Also included are reports applicable to payroll and various labor statistical reports and applications for permits, licenses, tax refunds, etc.	10 years	Comptroller
Monthly Investment Reports applicable to endowments; bonds; unitrust; annuities; bank statements and related documents including all supporting documentation applicable to the transactions indicated in the respective report.	7 years with the exception of Investment reports which are retained 10 years excluding Endowment Investments which are permanent.	Comptroller
General Ledger Activity with all supporting documentation including restricted; unrestricted funds; fixed assets; property and plant accounting records.		
General Ledger Activity with all supporting documentation including restricted; unrestricted funds; fixed assets; property and plant accounting records.	10 years	Comptroller
Alternative Loan Rosters, CT, OH, VT, and DE state Grants, Need Merit List, Pell Grant Information, Student Folders, SWSP Payroll	3 years	Financial Aid
Budgets Reported for State Aid Purposes	5 years	Financial Aid
Fiscal Operations Report, Loan Certification Letters, NETS, PHEAA Documents	Permanent 1 year Until program review	Financial Aid

Purchasing Records		
Bids (not construction related)	Accepted bids – 7 years after bid awarded; rejected bids – 3 years	Purchasing
Construction Contracts, including bids, RFPs, IFBs, specifications, justifications, etc.	Documents related to accepted bids – permanent; documents related to rejected bids – 2 years after completion of the capital improvements	Purchasing
Credit Card Documentation and Receipts Files	Paper and electronic -- completion of an audit or 3 years, whichever is longer	Purchasing
Equipment and Maintenance Records	1 year after disposal or trade-in of equipment	Purchasing
Purchase Orders	7 years; if blanket purchase orders related to an active, open contract, 7 years after completion or termination of contract.	Purchasing
Shipping List and Packing Slips	7 years	Purchasing
Surplus Property Disposal	4 years	Purchasing
Administrative Services Records		
Administrative Services Records		
Public Safety Records, Including Incident/Complaint Reports, Accident Reports, Daily Logs, and Public Information Logs	7 years	Public Safety
NCIC Records and Juvenile Records	10 years	Public Safety
Parking Permit Records, Including Sales and Ticket Collection Spreadsheets and Receipts, Parking Permit Applications, Ticket Upload Audit Reports, Payroll Reports, Transaction Reports and Refund Check Vouchers	7 years	Public Safety/Parking
Paid Parking Tickets, Tow Records and PA/NJ DMV Records	4 years	Public Safety/Parking

Parking Ticket Appeals Records, Budget Transfer Requests, and Lost and Found Information	2 years	Public Safety/Parking
Records of Inventory, Use and Control of Radioactive Materials	30 years	Public Safety/Environmental Health & Safety (H&S)
Records of Disposal or Abatement of Toxic and Hazardous Waste	30 years	Public Safety/Environmental H&S
Records of Hazardous Waste Generation	Permanent	Public Safety/Environmental H&S
Records of Hazardous Substances Exposure	30 years after end of employment	Public Safety/Environmental H&S
Records of Disposal or Abatement of Asbestos	30 years	Public Safety/Environmental H&S
Records of Testing, Inspection and Repair of Fire Protection Equipment	7 years	Public Safety/Environmental H&S
Records Related to Measurement of Noise in Work Environment	30 years after end of employment	Public Safety/Environmental H&S
Records of Periodic Inspections of Extinguishing Systems		
Records of Periodic Inspections of Extinguishing Systems	Until container is reinspected or its life	Physical Plant
Bucket Truck, Personnel Lifts, and Elevator Standards and Certification Records	5 years	Physical Plant
Records of Inspection, Performance, and Repairs of Emergency Power Equipment and Systems	4 years	Physical Plant
Evidence of Required Hydrostatic Testing on Portable Fire Extinguishers	Until hydrostatically retested at stated intervals or until taken out of service	Physical Plant
Mechanical and Electrical Equipment Checks and Electrical System Inspection Records	10 years	Physical Plant
Operational Manuals	Life of building	Physical Plant
Records of Fire, Internal Disaster and Evacuation Plan Drills	4 years	Physical Plant

Record of Fire Department Inspection	Permanent	Physical Plant
Written Report and Evaluation of External Disaster Plans	4 years	Physical Plant
Roof Warranty	Life of building	Physical Plant
Utility Readings, Tool Issue	Until person leaves	Physical Plant
Office Equipment Files	Until equipment is replaced	Physical Plant
Physical Plant Policies and Procedures	Until information is updated	Physical Plant
Maintenance and Repair Files	Until equipment is replaced	Physical Plant
Building Maintenance Records	Life of building	Physical Plant
Boiler and AC Water Treatment Records	3 years	Physical Plant
Campus House Records	Life of building	Physical Plant/Residence Hall (RH) Maintenance
Student Damage Records	3 years	Physical Plant/RH Maintenance
Sick/Dock Report		
Sick/Dock Report	Until person leaves	Physical Plant/RH Maintenance
Equipment Warranties and Manuals	Until equipment is replaced	Physical Plant/RH Maintenance
Vehicle Service Records	Until equipment is replaced	Physical Plant/ RH Maintenance
Key Records, Signatures, Receipts	Permanent	Physical Plant/Trades
Shop Personnel Records	Until person leaves	Physical Plant/Trades
Trades Time Cards, Payroll Receipts	3 years	Physical Plant/Trades
Building Work Order Files	2 years	Physical Plant/Trades
Electrical/Mechanical Preventive Maintenance Files	3 years	Physical Plant/Trades
Event Work Orders and Sketches	3 years	Physical Plant/Trades
Radio Inventory	Until equipment is replaced	Physical Plant/Trades
Building Architectural and Space Plans and Specifications	Permanent	Physical Plant
Zoning Permits	Permanent	Administrative Services
Equipment Files	Until equipment is replaced	Printing & Mailing
Job Files, Purchase Orders	5 years	Printing & Mailing
Office Copier Files, Vendor Files	Until vendor affiliation expires	Printing & Mailing

Planning, Production Statistics	Permanent	Printing & Mailing
Bookstore Records	Buyback slips - 2 years Web orders and tuition remission – 6 months	Bookstore
University Relations Records		
Alumni Records (Alumni society files, reunion class files, alumni biographical files)	Permanent – when no longer needed by Alumni office, transfer to Archives	Alumni Relations
Development Records (donor files, gift records, planned gifts, capital campaign files)	Permanent	Development
Photographs, Slides, and Audiovisual Materials Documenting the University	Transfer to Archives when no longer in use; keep releases and permissions as long as pictures are kept	Public Relations
Publicity Materials; Press Releases, Publications, Reports	Permanent; copy to Archives when released	Public relations
Catalogs	Copies transferred to Archives annually upon production; maintained permanently	Public Relations
Institutional Newspapers; Newsletters	Permanent	Public Relations
Commencement Programs	Copies transferred to Archives annually; maintained permanently	Public Relations

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