



RECORDS RETENTION SCHEDULE

TABLE OF CONTENTS

1. ADMINISTRATION, AUDIT, INSTITUTIONAL RESEARCH (IR), AND LEGAL RECORDS
2. ACADEMIC AFFAIRS
3. ADMISSIONS AND FINANCIAL AID
4. ADVANCEMENT, ALUMNI AFFAIRS, DEVELOPMENT, PR
5. CONTRACTS AND INSURANCE
6. ENVIRONMENTAL HEALTH AND SAFETY
7. FACILITIES
8. FINANCE
9. HUMAN RESOURCES
10. INFORMATION TECHNOLOGY
11. SAFETY AND EMERGENCY MANAGEMENT
12. STUDENT AFFAIRS
13. TITLE IX/EQUITY COMPLIANCE

1. ADMINISTRATION, AUDIT, INSTITUTIONAL RESEARCH (IT), AND LEGAL RECORDS

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
ADMINISTRATION	RESPONSIBLE OFFICE: <i>PRESIDENT</i>		
Accreditation Records		Permanent	
Annual Reports	a. Reports containing substantial evidence of University or University policy, procedures, plans, or directions	Permanent	
	b. Reports where critical information is contained in other reports, reports that document internal management and housekeeping activities, or reports that contain only routine legal, fiscal, or administrative information	6 years	
Board of Trustees, Board Committees and Administrative Reports to Board Committees	Board meeting minutes, reports, packets, and official board committee meeting minutes and records submitted as part of those meetings.	Permanent	
Recording of voice conversations, including audio tape, videotape, stenotype, stenographer's notebook, and verbatim minutes used to produce official minutes and hearing proceedings, report, or other record		4 months after transcription and/or approval of minutes or proceedings	

Meeting files for meeting of Board of Trustees or committee, or official faculty or department committee meeting, including agendas, background materials, and other records used at meetings		1 year	
Budget Records		7 years	
Bylaws		Permanent	
Charter		Permanent	
University-Wide Standing Committees	Records created by University wide standing committees and may include minutes and recommendations.	Permanent	
Commencement Programs		Permanent	
Conflict of Interest Disclosures for Trustees, Officers, Key People and Designees		Permanent	
Correspondence and supporting documentation maintained in a subject file (generated or received by the University), except correspondence that is part of a case file or other record listed elsewhere in this Schedule	a. Documenting significant policy or decision-making or significant events, or dealing with legal precedents or significant legal issues	Permanent;	
	b. Containing routine legal, fiscal, or administrative information	6 years	
	c. Of no fiscal, legal, or administrative value (including letters of transmittal, invitations, and cover letters)	0 after no longer needed	
Degree, Grade, Enrollment and Racial/Ethnic Statistics		Permanent	

IPEDS		Permanent	
IRS Determination Letter		Permanent	
Legal opinion rendered by Counsel		Permanent	
Lobbying activity	Including but not limited to registration records, individual reporter designation records, and period reports of lobbying activity filed with the New York State Lobbying Commission	3 years	
Policies, procedures, rules, and resolutions		Permanent	
Postal records, including returned registered or certified mail card or receipt and insurance receipt	a. Relating to legal notice or official notice to personnel	3 years	
	b. Not relating to legal notice or official notice to personnel	1 year	
University-related reports, studies, or data queries, including their supporting documentation, covering subjects such as institutional research, graduation rates, enrollment projections, ethnicity and other student profiles, faculty-student class ratios, honors lists, and fiscal matters	a. Annual or semester reports submitted to the U.S. Department of Education, the State, the City, or the University, including the institutional profile; other reports, studies, or queries having legal or fiscal value; and verifications of data following submission by the University	6 years	Or longer, as the University determines
	b. Reports, studies, or queries having no legal or fiscal value, such as daily activity or other routine internal reports	0 after no longer needed	
Student Complaints	Including complaint log, correspondence, and reports	6 years after complaint resolved	
Surveys	a. Survey results, including official copy of survey form	6 years	
	b. Completed survey forms	0 after survey results prepared	

Trademark		Permanent	
Training and Professional Development Records		3 years after termination of employment	
AUDIT	RESPONSIBLE OFFICE: <i>INTERNAL AUDIT</i>		
Audit Committee Meeting Minutes		Permanent	
Internal Audit Reports (final)		7 years	
	Audit background documentation, including summaries, posting records, and related records created by an auditing office as part of the auditing procedure	6 years	
Internal investigation or non-fiscal audit records	a. Report and recommendation resulting from investigation	Permanent	Whistleblower and other investigations outside ordinary audit review schedule
	b. Background materials and supporting documentation (unless required by the General Counsel)	6 years	
External Audit reports		7 years	
LEGAL	RESPONSIBLE OFFICE: <i>GENERAL COUNSEL</i>		
Complaint or case file of human rights, including individual case summary record, filed in or referred to New York City Commission on Human Rights, New York State Division of Human Rights, Equal Employment Opportunity Commission, or other administrative agency		6 years after termination of individual's employment, or 6 years after last entry or case closed, whichever is longer. However, records with historical value should be retained permanently. The University should consider permanent retention of records in significant cases.	

Court Orders, Judgments, Settlements, Releases etc.		Permanent	
	Related paperwork for such cases	3 years after final resolution of case	
Legal Case File	Including but not limited to notice of claim, attorney and investigator activity logs, complaints, answers, copies of filed court documents, incident reports, court orders or decisions, motions, notes, briefs, releases, and closing sheets	6 years after case closed, or 0 after youngest person involved attains age 21, whichever is longer	At discretion of the University and GC to keep longer, including permanently
Subpoena, Along with Documentation of Response, Issued to the University		1 year after date of response when not part of a legal case file	
Summary record for individual case and/or master summary record of all cases		Permanent	

2. ACADEMIC AFFAIRS

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
ACADEMIC AFFAIRS	RESPONSIBLE OFFICE(S): <i>PROVOST, REGISTRAR, SCHOOLS</i>		
Academic Records	Petitions, degree progress, actions, grade change forms, etc.	6 years from graduation or date of last attendance	
Accreditation Records	a. Records for institutional or program accreditation by the Middle States Association of Universitys and Secondary Schools, CCNE for Nursing and other organizations responsible for accrediting	Permanent	Includes significant correspondence, reports, questionnaires, self-study records and reports, guides and related documents transmitted

	institutions of higher learning, including but not limited to institutional self-study documents, reports and determinations resulting from onsite visits for evaluation, and the University's response to deficiencies noted		between the University and accrediting bodies
	b. Significant correspondence, reports, questionnaires, self-study records and reports, guides, and related documents transmitted between a University or the University and accrediting bodies	Permanent	
	c. Routine correspondence and transmittal records, drafts of guides and reports, and fiscal records	6 years after accreditation approved or denied	
Attendance Records	Records necessary to provide documentation for student financial aid or other purposes	6 years	
Bulletins		Permanent	Archive
Class Rosters		Permanent	
Course Evaluations	Including but not limited to teaching observation reports and annual evaluations		
	a. Evaluation by students	3 years	
	b. Evaluations by individuals other than students	6 years after termination of instructor's employment	
Course Offerings	a. Official copy of any literature or other material made available to the	Permanent	

	public, including University catalogs and student handbooks		
	b. Detailed course descriptive information, including background materials and supporting documentation	7 years after course or program discontinued	
	c. Course listing created for administrative convenience, containing department list of classes	0 after superseded or obsolete	
Class Schedule, Including Class Title, Location, Dates, and Time of Meeting		6 years	
Catalogs	Undergraduate and graduate	Permanent	Archive
Course Syllabus or Lesson Plan		0 after no longer needed. University may want to retain representative or outstanding course syllabi for future reference.	
Instructor's Grade Records, Test Scores, and Marking Sheets, including Records Documenting the Evaluation of Scientific Models, Biological Specimens, Chemical Compounds, or other Objects or Materials Produced in Lab or Shop Settings		2 years	
Course or Laboratory Attendance Records Necessary to Provide Documentation for Student Financial Aid or Other Purposes		6 years	
Curriculum Changes		5 years from graduation or last date of attendance	

Curriculum Development Records	Curriculum development records, covering internal development and approval for credit, non-credit, and continuing education programs and courses		Records prepared as part of curriculum planning may have long-term value; evaluate these records for continued, or permanent, preservation.
	a. Curriculum and related records describing course of instruction and course content, including transfer status information and course history records	7 years	
	b. Approved internal application for curriculum	7 years	
	c. Denied internal application for curriculum	1 year	
	d. Curriculum planning records	0 after no longer needed	
Curriculum and Program Registration Records	Including approvals from the State University of New York and registration letters from the State Education Department	Permanent	
Commencement Records	a. Official copy of commencement program or other publication	Permanent	
	b. Other commencement records, including but not limited to copies of speeches, press clippings and press releases, and event planning and logistics records	6 years	
Degree Recipients		Permanent	
Degree Requirement Exception/Change Petitions		5 years from graduation or date of last attendance	
Enrollment		Permanent	

Enrollment Change Forms		1 year from date of enrollment	
Evaluations of Course Instructor, Including but Not Limited to Teaching Observation Reports and Annual Evaluations			
	a. Evaluations by students	3 years	
	b. Evaluations by individuals other than students	6 years after termination of instructor's employment	
Examination Questions, Completed Examination Papers and Answer Sheets, and Term Papers		1 year after course completed	
Grade Books/Sheets		Permanent	
Graded Course Materials	Homework, exams, etc.	1 year after completion of course	
Grades and Grade Rosters	Including record of grade submitted	Permanent	
Grade Changes	Changes to final grades only	Permanent	
Graduation Lists		Permanent	
Grants and Related Paperwork	a. Application, proposal, narrative, evaluation, and annual report for grants that have been awarded	6 years after renewal or close of grant	
	b. Background material, fiscal records, and supporting documentation for grants that have been awarded, and all records relating to grant applications that have been rejected	6 years after renewal or close of grant or denial of application	
Holds	Registration, diploma, transcript, etc.	Until released	
Institutional Review Boards	a. Records relating to individual research protocols, including but not limited to copies of research proposals reviewed and accompanying scientific	3 years after research concluded or otherwise terminated.	21 CFR 56.115 21 CFR 312.62

	evaluations and funding proposals; approved sample consent documents; progress reports submitted by investigators; reports of injuries to subjects; statements of significant new findings provided to subjects; written summaries of discussion of controversial issues and their resolution; records showing the basis for requiring changes in or disapproving research; correspondence between the IRB and investigators; and records of continuing review activities		
	b. Records relating to IRB actions and activities other than protocol-specific matters, including but not limited to minutes of IRB meetings and related attendance records and agendas; records of actions taken by the IRB that are not included in the minutes, including the number of members voting for or against or abstaining from such actions; lists of IRB members; and written procedures for the IRB	3 years after research completed or otherwise terminated.	45 CFR 46.115 21 CFR 56.115
List of Students Majoring in a Field of Study		0 after superseded or obsolete	
Master Plan		Permanent	
Manual Grade Change Forms		Permanent	
Program Proposals	Including proposals for registration of new programs and requests for		

	approval of changes in existing programs.		
	a. For successful registration of program	Permanent	
	b. For failed program	0 after no longer needed	
Registration Forms		5 years from course registration	
Transcripts		Permanent	
Transcript Requests		1 year from submission date	
Transfer Credit Evaluations		5 years from graduation or date of last attendance	
Theses (for MA programs)		Permanent	physical copy
LIBRARY	RESPONSIBLE OFFICE: LIBRARY		
Circulation Records		Retained until items are returned and discharged	
Library Catalog		Permanent	
ACADEMIC PERSONNEL RECORDS	RESPONSIBLE OFFICE(S): PROVOST, HR, SCHOOLS		
Academic Search Records		3 years	
Disclosure of External Financial Interests and Commitments		5 years post-disclosure	
Faculty Evaluations, Observations, Promotion, Demotion and Discharge Documentation		10 years from the employee's termination from the University	
Grievances	a. No cause findings	3 years from determination	
	b. Cause findings	Permanent	
Personnel Files, Appointment Letters, and Forms		Permanent	See Faculty Handbook
Research Records of Faculty	Published books, papers, journal articles, and other materials made available to the public	Permanent	

Tenure or Promotion Dossiers		3 years from determination	
Presidential Decisions Regarding Appointment, Promotion and Tenure		Permanent	
Search Committee Files	These records are search files created in the search, advertising, interviews and hiring for an individual to fill a position within the University.	7 years following the completion of the search.	
STUDENT ACADEMIC RECORDS	RESPONSIBLE OFFICE: PROVOST, REGISTRAR, ENROLLMENT SERVICES		
Student Academic Record (transcript)		Permanent	
Change of Grade Documents, Withdrawal Authorizations, Graduation Certification, Social Security Certification, Student Roster (Including Names, Addresses, and Other Pertinent Information), and attendance verification records, such as class roster, final grade listing, and student schedule		6 years	Can be retained longer
Other Student Records	Including but not limited to academic action authorizations (dismissals and/or notification of problems); employment placement records; records of internships served; records relating to participation in clinical programs; records of selection for and participation in remedial assistance, second language, academic honors, or other special academic programs; and assessment of life/work experience information for academic credits	6 years after graduation or date of last attendance of student(s) involved	

Student Degree and Grade Audit Records		6 years	
Application for veteran's benefits and enrollment certification and related records		3 years	
Application for graduation, change of course (drop/add) records, credit/no credit (audit) approval, pass/fail request, registration form, and request by student for transcript or other record		1 year	
Name and/or sex change authorization, or change in Social Security number record		3 years	
Non-credit and continuing education records	a. Individual attendee records, including but not limited to residence verification, program participation application, summary of participant achievements and attendance, and record of courses taken, including grades and test results, but excluding test papers and answer sheets	6 years (unless part of their student record as an enrolled student)	
	b. Test papers and answer sheets	6 months	
Academic Integrity Violations	Findings and related case files	Permanent	
Research Records (Students)	Published books, papers, journal articles, and other materials made available to the public	Permanent	
Termination record containing information about academic, attendance-related, or disciplinary termination, reason for termination,		3 years	

transfer to another University, or future plans of student			
Enrollment verification requests		1 year from enrollment date	
NCAA eligibility certifications		7 years from date of certification	
Transcript requests		1 year from submission date	
Veterans Administration Certificate of Eligibility		5 years from graduation date or date of last attendance	

3. ADMISSIONS AND FINANCIAL AID

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
ADMISSIONS	RESPONSIBLE OFFICE(S): <i>ADMISSIONS, ENROLLMENT SERVICES</i>		
APPLICANTS: NOT ENROLLED			
Applications for Admission or Readmission	Relevant correspondence, entrance exam reports (ACT, SAT, etc.), letters of recommendation, high school (and other University) transcripts	2 years after date of exclusion or end of permitted enrollment period for accepted applicants	
Financial Aid Records		1 year	
APPLICANTS: ENROLLED			
Applications for Admission	Including AP exams, relevant correspondence, entrance exam reports, etc.	6 years after graduation or date of last attendance	
Letters of Recommendation	Including waiver for right of access	6 years after graduation or date of last attendance	
Recruitment Records	a. Other than recruitment of individual student athletes, including but not	3 years	

	limited to plans and strategies, lists of potential students, records of socio-ethnic composition of student body, records of University planning workshops and visits by parents and prospective students, and relevant statistics		
	b. Records relating to individual prospective students who do not apply for admission, including resumes	1 year	
Parental Consent/FERPA Records		6 years	FERPA releases
Transcripts	From high school or other Universitys	5 years from graduation or date of last attendance	
International Student Forms	Visa documentation, etc.	5 years	
BURSAR	RESPONSIBLE OFFICE: <i>BURSAR</i>		
Cashier Reports		6 years	
Disclosure Statements		3 years after account has been paid in full	
FINANCIAL AID	RESPONSIBLE OFFICE: <i>ENROLLMENT SERVICES, FINANCIAL AID, STUDENT SERVICES</i>		
Authorization/Allocation Letters	These records document awards of federal financial aid to the University.	Permanent	
Bankruptcy matters (students)		6 years after case closed	
Financial Aid Records	Including but not limited to Free Application for Federal Student Aid (FAFSA) reports, applications for assistance and related eligibility determination records, financial aid disbursement records, copies of	6 years after graduation, date of last attendance, or financial accounting, whichever is longer	

	income tax forms, financial aid transcripts from other schools, award and declination notices, verifications for non-taxable income and other tax-related records, instructor requests for work-study student, student work-study job descriptions, copies of work-study time records to verify hours with student schedule, and veteran's service information		
Financial Aid Reports	State, federal, and other covering multiple students, including but not limited to Tuition Assistance Program (TAP) reports	6 years	
Pell Grant Records		7 years after the award year	
Scholarship Records	a. Individual scholarship file, including but not limited to applications, list of eligible candidates, list of competition winners and alternates, recommendations, authorization of awards, financial statements, accounting data, reports, and correspondence	6 years	
	b. List of scholarships awarded students	Permanent	
Records of Gifts and Prizes (Other than Scholarships) Awarded to Students		3 years	
Student Loan Repayment Records		6 academic years after loan is repaid, fully canceled, or	

		assigned to U.S. Department of Education	
Student Call Center, telephone call log, statement, or equivalent record		1 year	
Tuition and Fee Charges		6 years after last entry	
U.S. GI and Dependents Educational Benefits Records	Documentation of the educational training of students entitled to benefits administered through the US Veterans Administration. Contains certifications, discharge papers, course of study information, transcripts, marriage licenses, birth certificates, transcripts,	7 years after termination of enrollment	

4. ADVANCEMENT, ALUMNI AFFAIRS, MARKETING AND PR

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
	RESPONSIBLE OFFICE: <i>ALUMNI AFFAIRS AND ADVANCEMENT</i>		
Alumni Records	Alumni directory or other master summary record of alumni and all other degree recipients, such as published alumni catalog, providing names of alumni, years of graduation, degrees granted, place of residence, and other information	Permanent	

Annual Reports		Permanent	
Commencement Program		Permanent	
Donor (and Prospective Donor) Information	Information on individuals, organizations, foundations, or corporations	0 after no longer needed. Records of specific gifts to the University are covered below	Document retention requirements refer only to material maintained by the University. Records retained by separate campus foundations are subject to foundation policies and procedure.
Endowment Records		Permanent	
Gift Records		Permanent	
Gift Letter Agreements		Permanent	
Planned Gifts and Real Estate Gifts	Trusts, life income, annuities	Permanent	
PR/MARKETING			
Official copy of publication, including newsletter, press release, published report, bulletin, homepage or other website file, educational or informational program material, or catalog prepared by or for the University	a. Publications that contain significant information or substantial evidence of plans and directions for University or University activities, or publications where critical information is not contained in other publications or reports	Permanent	

	b. Publications where critical information is also contained in other publications or reports, publications that document routine activities, publications that contain only routine information, or publications (such as web pages) that facilitate access to University or University information on the Internet	0, after no longer needed	
Special project or program files, including official copy of publications, videotapes, or informational literature prepared for public distribution, background materials, and supporting documentation	Examples of such projects or programs include orientation of students and staff; speakers' and other community services; and incubator programs, small business development services, assistance/training to business and industry.	6 years after project or program ends	

5. CONTRACTS, INSURANCE, PURCHASING

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
CONTRACTS	RESPONSIBLE OFFICE(S): <i>LEGAL, PURCHASING, OPERATIONS</i>		
Legal Agreements	Including contract, lease, and release involving the University (excluding collective bargaining agreements)	6 years after expiration or termination, or 6 years after final payment under contract, whichever is longer	Filed in Xtender by VP of Operations & Facilities Office

INSURANCE	RESPONSIBLE OFFICE(S): <i>FINANCE, LEGAL, PURCHASING</i>		
Certificate of Insurance	Certifying as to name of insured, type of insurance, limits of liability, date of expiration, and policy number, when no outstanding claim is involved, except a certificate of insurance certifying as to a security bond or undertaking	6 years after expiration	Could keep permanently with relevant contracts
Insurance Appraisal and/or Survey		0 after superseded or obsolete	
Insurance Policies (GL, Property, Educators, Cyber)	When no outstanding claims are involved	6 years after expiration, or until report on examination is filed, whichever is longer	
Insurance Case Records	Including but not Limited to Proof of Liability Insurance Coverage, Notice of Claim, Copies of Filed Court Documents, Accident Reports, Medical Reports, Motor Vehicle Reports, Appraisal Report, Copy of Check, Correspondence, and Other Supporting Documentation	Records for claims relating to exposure to asbestos or other toxic substances: 90 years	
		Record for claims not relating to exposure to asbestos or other toxic substances: 6 years after claim closed, or 0 after youngest person involved attains age 21, whichever is longer	
Master Summary Record (Log or Register) of all Claims		0 after all claims and/or cases listed in master summary record have been disposed of	
Title Insurance Policies	When no outstanding claims are involved	20 years after expiration	

PURCHASING			
Purchase order, purchase requisition, or similar record used to obtain materials, supplies, or services		6 years	
Purchasing file, including but not limited to bid (successful or unsuccessful), contract, specifications, and related records for purchase of materials, supplies, and services not connected with capital construction		6 years after completion of purchase, or 6 years after final payment under contract, whichever is longer	
Vendor file, including but not limited to list of vendors doing business with the University, vendor evaluation forms, price lists, or other information received from vendors		0 after superseded or obsolete	
Performance guarantee or written warranty for products, or similar record		6 years after expiration	
Invoice, packing slip, shipping ticket, copy of bill of lading, or similar record used to verify delivery and/or receipt of materials or supplies		6 years	
Invoice register, or similar record used to list invoices		6 years after last entry	
List or abstract of purchase orders, claims, or contracts		6 years	

Standing order file, used for purchase of materials and supplies that are received on a regular basis		6 years	
Chargeback records, showing specific fund to be charged for in-house expenditure		6 years	
Canceled bids file, including purchase requisitions, vendor solicitations, requests for proposals (RFPs), price quotations, and related records concerning bids for goods or services that were canceled without a purchase being completed		1 year after subsequent procurement of same goods or services completed under a re-initiated procurement, or 1 year after decision not to purchase such goods or services	
Minority- and women-owned business files, covering minority- and women-owned businesses doing business with the University	a. Summary record listing businesses, eligibility criteria, and official University or University policy statement	Permanent	We refer to NYS OGS Contract for this list.
	b. Detailed application/questionnaire/response completed by business	5 years after last entry	
	c. Directory of state-approved minority- and women-owned businesses, supplied by State Department of Economic Development	0 after superseded or obsolete	

	d. Other records, including job quotes, bid lists, referrals, credit and character references and affidavits, but not including summary record, detailed application/questionnaire/response, eligibility criteria, official University or University policy statement, and state-supplied directory of businesses	6 years after contract expiration	
Financial or political interest disclosure records filed by vendor or contractor doing business with the University		6 years	

6. ENVIRONMENTAL HEALTH AND SAFETY

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
EMERGENCY & FIRE PROTECTION	RESPONSIBLE OFFICES: <i>OPERATIONS, SAFETY</i>		
Confined Space Permits		1 years	
Evacuation Drill Records		5 years	
Exposure Monitoring Records		30 years	
Fire Protection System Records		5 years	
LAB RECORDS			
Fume Hood Testing		3 years	
Hazardous Waste Disposal		3 years	

Hypodermic Syringes and Needles Acquired for Educational Use			
	a. Certificate of need for educational use	6 years after certificate expires	
	b. Other records, including records of purchase, inventory, destruction, loss, or theft	6 years	
Incident Records		5 years	
Injury and Illness Reports		5 years	
OSHA Training Records		Until end of employment	
OSHA Investigations and Findings		Permanent	
Select Agent Records and Correspondence		Permanent	
Records Relating to Tax-Free Use of Alcohol for Educational Purposes		6 years after expiration of permit or denial of application	

7. FINANCE

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
	RESPONSIBLE OFFICES: <i>CFO, PAYROLL, OPERATIONS, HR</i>		
Abstract of Receipts, Disbursements, or Claims		6 years	
Accounting register	Including but not limited to check register, transfer of funds register, encumbrance register, and register of	6 years after last entry	

	claims presented for payment and paid claims		
Accounting Reports (Monthly Reports)	Schedules of department balances, transaction statements, account analysis statements, monthly and year-to-date salary and wage statements	6 full fiscal years	
Accounts Receivable Vouchers and Attachments		6 full fiscal years	
Admissions Collection Record	Including but not limited to record of receipts and log of operations	6 years	
Annual Financial Reports		Permanent	
Annual Financial Report Work Papers		6 years	
Banking Records	Deposit and withdrawal records, bank statements and reconciliations, voided and canceled checks	6 years	
	Banking communications, including but not limited to bank statement, reconciliation, notification of voiding or return of check, cancellation of payment, or other notice for checking or savings account	6 years	
Billing Records	Covering services provided by the University, other than student's individual account records		
	a. Customer's individual account	6 years after last entry	
	b. Records used to determine billing and charges, including copies of bills and charge slips	6 years	

	c. Billing address records	0 after superseded or obsolete	
Bill of Sale of Property Owned by the University Other Than Real Property		6 years	
Budget	Plans and projections	Permanent	
Budget Preparation File	For budget request or estimate submitted by department head, including but not limited to the preliminary or tentative budget, budget appropriation and staffing requests, estimates of revenues or expenditures, narrative of services, budget message, budget hearing and review files, and related records	6 years	
Budgetary Change	Request and approval or denial for change in approved budget, including but not limited to transfer of funds from one budget item to another, overtime authorization, or request for supplemental funds	6 years	
Capital Equipment Records	Life of asset: records of equipment purchased on federal funds must be retained	3 years after final disposition	
Cash transaction record	Showing cash received from collection of various fees and petty cash disbursed	6 years	
Check Registers and Checks Paid/Cleared		Tax return due date or due date of filing if later +15 years	

Claim for Payment (Approved or Disallowed), Including Claim, Vendor's Voucher, and Bill		6 years	
Collection Records		Tax return due date or date of filing if later + 10 years after audit	
Credit Card Records	Documenting payments received by credit cards or electronic transactions, including credit card payment receipts and statements showing amounts of payments received and fees deducted	6 years	
Daily Cash Record	Including adding machine tapes, cashier's slips showing daily cash receipts, and analysis of cash receipts	6 years	
Depository Agreement	Including designation of depository, bond or surety, or other record relating to deposit of the University	6 years after agreement, designation, bond, or surety has expired or been superseded or rescinded	
Deposit Book for Checking Account		6 years after last entry	
Deposit Book for Savings Account		6 years after cancellation	
Deposit Slip		6 years	
Depreciation Records		Life of asset	
Effort Certifications		7 years	
Facilities and Administrative Cost and Benefit Rate Calculations		7 years	
General Ledger Showing Summary Receipts and Disbursements from all Funds and Accounts		6 years after last entry	

	Subsidiary ledger providing details of the general ledger accounts	6 years after last entry	
Grant, Award, or Gift Files, covering Grants, Awards, and Gifts given by the University to Students, Faculty, Staff, or other Individuals or Entities			
	a. Master summary record of grants, awards, or gifts	Permanent	
	b. Detailed records of grants, awards, and gifts to students or other individuals or entities other than faculty or staff, excluding master summary record	6 years	
	c. Detailed records of grants, awards, and gifts to faculty or staff, excluding master summary record	6 years, or termination of employment, whichever is longer	
Inventories		Life of asset	
Investment Statements		Active + 6 years	
Journal Entries and Back-Up Documentation		6 years after last entry	
Mortgages		Active + 6 years	
New Account Records and Back-Up Documentation		6 years	
Notice of Encumbrance Indicating Funds Encumbered and Amount Remaining Unencumbered		6 years	
Intermediary fiscal record of receipts and disbursements, including but not limited to detail record, analysis,		6 years	

proof sheet or trial balance worksheet, and adding machine tapes			
Past Due Account Fiscal Records and Summaries		6 years after account satisfied or otherwise closed	
Payment Authority Authorizations		6 years	
Payment Recoupment Records	Documenting the process of recovering monies paid erroneously by a University employee, vendor, or other payee	6 years after last entry	
Receipt (Received) or Copy of Receipt (Issued), Other Than for Payment of Taxes		6 years	
Social Security Reports and Deposits	Periodic report of wages and social security contributions paid by Mercy University to each employee.	7 years after the fiscal year of the transaction	
State or Federal-State Reimbursement Claim File, Including but Not Limited to Summary and Detail of Claim, Worksheets, and other Supporting Documents		6 years	
Student's Individual Account Records	Covering credit, non-credit, or continuing education courses, housing, food, laboratory and equipment use, and other fees, charges, and expenses, and tuition waivers	6 years after last entry	
Subsidy Ledgers	Accounts payable, accounts receivable, etc.	6 years after last entry	
Summary Record of Outstanding or Paid Warrants or Claims		6 years	

Travel Reimbursements and Attachments		6 years	
PAYROLL			
Payroll	Including information on gross and net pay, base pay, taxes, and other deductions		
	a. Year-end payroll, including detailed information necessary for salary verification for retirement and Social Security purposes	55 years	
	b. Periodic payroll, including detailed information necessary for salary verification for retirement and Social Security purposes, when no year-end payroll is maintained or year-end payroll does not contain this required detailed information	55 years	
	c. Periodic payroll, not including detailed information necessary for salary verification for retirement and Social Security purposes	6 years	
	d. Warrant authorizing payment of salaries based on a specific payroll, if maintained separate from payroll itself	6 years	
	e. Preliminary draft of payroll	0 after warrant authorizing payment of salaries signed	
Summary Record of Employee's Payroll Changes		6 years after termination of employment	

Employee's Personal Earnings Record Used to Prove End-of-Year Total Earnings, Retirement or Other Deductions, and Taxes Withheld		55 years	
Employee's Declaration of Intention to Accept or Reject Social Security		10 years after employee dies or attains age 75, whichever is shorter	
Direct Deposit Records	Covering direct deposit of employee's salary, including but not limited to application to begin or terminate direct deposit, and transaction log or similar reports	6 years after authorization expires	
Employee's Declaration of Intention to Decline Participation in Retirement Benefit Plan, Including Copy of Written Notification of Options Provided Employee			
	a. For retirement plan	55 years	
	b. For benefit plan	6 years after termination of employment	
Labor Distribution Adjustment Records		6 years	
Payroll Deduction Authorization Forms	W-4, etc.	7 years after termination of employment	
Employee's Voluntary Payroll Deduction Request Form		5 years after authorization expires	
Payroll Vouchers		7 years	
Quarterly or Other Periodic Report of Wages Paid Prepared for Social	Payroll registers, deductions lists, adjustments	6 years after year in which wages reported	

Security, and Report of Any Adjustments or Corrections			
Record of Employee Absences or Accruals	a. When not posted to periodic cumulative time summary record	6 years	
	b. When posted to periodic cumulative time summary record	1 year	
Record of Assignments, Attachments, and Garnishments of Employee's Salary	a. When employment was terminated prior to satisfaction	6 years after termination of employment	
	b. When satisfied	5 years after satisfaction	
Timesheets		6 years	
PAYROLL TAXES			
Copy of Federal Determination of Error in Wage Reports (Form OAR-S30 or Equivalent Record)		6 years after determination received	
Employer's copy of Annual Federal Tax Return (Form 940), Quarterly Federal Tax Return (Form 941E) and Continuation Sheets (Form 941a), Notice of Tax Return Due (Form TY 14), or equivalent forms		4 years after tax paid	
Employer's Copy of U.S. Information Return for Calendar Year (Form 1099), Withholding Tax Statement (Form W-2), Transmittal of Wages and Tax Statements (Form W-3), or Equivalent forms		4 years	

Employee's Withholding Exemption Certificate (Form W-4), or Equivalent Form		4 years after superseding certificate filed or employment terminated	
Employer's Copy of New York State Income Tax Records Relating to Employees		4 years after tax paid	
PENSION			
Employee Eligibility for Retirement		6 years after death of eligible employee or beneficiary	
Employee Personal Information	Name, address, social security number, period of employment)	6 years after death of eligible employee or beneficiary	
Employee Service Records		6 years after death of eligible employee or beneficiary	
Retirement Paid to Employee/Beneficiaries		6 years after death of eligible employee or beneficiary	
Retirement Plan Descriptions and Amendments		Permanent	
TAX			
Sales Tax Records	Covering sales tax collected by the University and transmitted to State Department of Taxation and Finance	6 years	
Tax Exemption Applications and Renewal Forms		10 years after disposal of the property	
Tax Exempt Bond Documents	Term if bond issue and refunding issue, if any, + 4 years		
Tax Exemption Records	Showing that the University is exempt from paying sales, use, or other taxes	1 year after superseded or obsolete	

8. FACILITIES

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
	RESPONSIBLE OFFICES: FACILITITES, OPERATIONS, TRANSPORTATION, SAFETY		
Capital Construction Project File	Including but not limited to bids, specifications, 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; annual project statement; fiscal and other financial reports; significant change orders; and significant correspondence	6 years after building or facility no longer exists or is no longer owned by University,	
	b. Supplementary documentation, including application for assistance, project budget, interim fiscal reports, claims, contracts, vouchers, work orders, memoranda, worksheet, non-significant change orders, routine correspondence, and detailed construction specifications	6 years after last entry in project file	
	c. Unsuccessful bids to which contract is not awarded	6 years	
	d. All records, when project is proposed but not undertaken	6 years after last entry	
Official Plans, Maps, designs, sketches, architectural drawings, and photographs for buildings or other			

facilities owned by the University a University, and also including design file for capital construction or renovation project			
	a. Final or “as built” plans, maps, designs, sketches, architectural drawings, and photographs for significant building or other facility	Permanent	
	b. Final or “as built” plans, maps, designs, sketches, architectural drawings, and photographs for other than significant building or other facility	6 years after building or facility no longer exists or is no longer owned by the University	
	c. Mechanical, electric, and other detailed schematic drawings not covered by parts “a” or “b”, including detailed specifications not appearing on plans, maps, designs, sketches, or architectural drawings	6 years after building or facility no longer exists or is no longer owned by the University	
	d. Other related non-graphic design file documents, including correspondence, cost estimates, reports, planning studies, and other records	6 years after completion of project	
	e. Template or other similar automated framework or reference files used in conjunction with more specific automated design files	As long as related specific automated design files are retained	
	f. Index or similar record used to locate, identify, and access plans, maps, designs, sketches, architectural drawings, photographs, and other existing records	Maintain as perpetual data file or other record, deleting information only relating to records that have been disposed of	

Draft or intermediary plans, maps, designs, sketches, or architectural drawings, including explanatory textual files, tracings, and other than final or “as built” automated design files		0 after no longer needed	
Maintenance, testing, service, operational, and repair records for buildings and other facilities or their mechanical, electrical systems, or other infrastructure	a. Cumulative summary records	6 years after building or other facility no longer in use	
	b. Individual detailed report or related record, such as work request, work order, personnel deployment record, preventive maintenance schedules, and records of work completed, when posted to cumulative summary record	6 years	
	c. Individual report or related record, such as work request, work order, personnel deployment record, preventive maintenance schedules, and records of work completed, when not posted to cumulative summary record	6 years after building or other facility no longer in use	
	d. Log, maintenance schedule, or similar record of ongoing activity	6 years after last entry	
	e. Descriptive information on specific equipment or component parts	6 years after equipment or part no longer in use	
	f. Descriptive information on maintenance personnel, vendors, or contractors	1 year after superseded or obsolete	

	g. Inventories of parts, materials, and supplies needed for maintenance and repairs	6 years	
	h. Requests for inspection, repair, or service, when no work is performed and no funds expended	1 year	
Reports and studies relating to maintenance, testing, service, operation, and repairs for buildings and other facilities or their mechanical, electrical systems, or other infrastructure		6 years	
Building or facility security records, including but not limited to visitor's register, watchman's or automated security system or false alarm reports, and records of building/room keys or passes issued		3 years, or 3 years after cancellation or return of key or pass	
Property inventory records, covering buildings, facilities, vehicles, machinery, and equipment, including "fixed assets" records		0 after superseded by updated inventory, or 6 years after replacement, sale, or discontinuance of use of all property listed, whichever is shorter	
Inventory of supplies		6 years	
Maintenance, testing, service, operational, and repair records for equipment or vehicle, but not covering buildings and other facilities	a. Cumulative summary record for vehicle or equipment	6 years after vehicle or equipment no longer in use	

or their mechanical, electrical systems, or other infrastructure			
	b. Individual report, when posted to cumulative summary record	6 years	
	c. Individual report, when not posted to cumulative summary record	6 years after vehicle or equipment no longer in use	
	d. Maintenance or repair log or similar record	6 years after last entry	
	e. Reports and studies relating to maintenance, testing, service, operation, and repairs for equipment or vehicles	6 years	
	f. Requests for inspection, repair, or service, when no work is performed and no funds expended	1 year	
Specifications, warranty, and descriptive information received from vendor for vehicle or equipment		6 years after vehicle or equipment no longer in use	
Vehicle routing, scheduling, and usage records, including automated system used to schedule and assign routes of service and maintenance vehicles	a. Detailed data file containing information such as vehicle stops, usage, and locations at specific times or intervals	0 after no longer needed	Data Stored on the Cloud and accessed as needed

	b. Automated system operation history file, containing significant data and/or periodic data snapshots, generated from detailed system data	6 years	
	c. Logs, schedules, reports, and queries (including macros, queries, and necessary documentation used in report and query generation) that contain information of legal or fiscal value	6 years	
	d. Logs, schedules, reports, and queries (including macros, queries, and necessary documentation used in report and query generation) that do not contain information of legal or fiscal value	0 after no longer needed	
Request for services or supplies, including stockroom supplies, forms and publications, duplication, or use of any vehicle or equipment	a. When a chargeback or fee is involved	6 years	
	b. When no chargeback or fee is involved	0 after no longer needed	

Federal Communications Commission (FCC) radio licensing records	a. Original application and other related records not created for renewal applications	5 years after termination of license or final denial of application	
	b. Renewal application and related records, including copy of license	5 years after renewal or termination of license or final denial of application	
	c. Request for frequency data research	1 year	
	d. Listing of locations of radios using University radio frequency	0 after superseded or obsolete	
Videotape or other recording maintained for security purposes	a. Videotape or other recording containing incidents warranting retention for administrative or potential legal uses	3 years, or 0 after youngest person involved attains age 21, whichever is longer	Footage is not retained beyond 90 days unless we are notified of a particular incident. Where a litigation or grievance has been filed, such videotapes or other recordings should be retained for as long as the records of the proceeding are retained.

	b. Videotape or other recording not containing incidents warranting retention for administrative or potential legal uses	0 after no longer needed	
Records filed by contractor or subcontractor with the University to public works project, pursuant to Section 220 (3-a), Labor Law, including but not limited to copy or abstract of payroll, classification of workers employed on a project, and statement of work to be performed by each classification		3 years after contract completion	
Energy consumption monitoring records showing use of electricity or fuel, operation of heating and/or cooling equipment, or environmental conditions (temperature, humidity, air quality) in various parts of publicly owned or operated building or other facility	a. Detailed data collected from sensors or monitors, and detailed reports generated from such data	0 after no longer needed	
	b. Equipment maintenance, testing, and service records, except detailed records of routine activities	6 years after equipment no longer in use	
	c. Detailed records of routine maintenance, testing, and service	6 years	

	d. 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, along with accompanying charts, graphs, and data tables	6 years	

9. HUMAN RESOURCES

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
	RESPONSIBLE OFFICES: HR, IR, TITLE IX/EQUITY, PROVOST		
Collective Bargaining Agreements (CBA)		Permanent	
Disciplinary		6 years after termination of individual's employment, or 6 years after final decision rendered, whichever is longer	
Employee Benefit Plan Enrollment Documents		7 years after termination of participation in the plan	
Employee Medical Records		3 years after termination of employment	Due to OSHA requirements

Employee Personnel Files	Including application, resume, payroll, appointments, salary forms	6 years after date of termination	Provost's office for faculty appointment letters, resumes, etc. See Faculty Handbook
Employment Applications	For individuals not hired	1 year (or until conclusion of any legal proceedings)	
Equal Employment Opportunity Report and Related Records for University Employees	a. Annual, long-term, or special (narrative or statistical) reports, goals, and achievements, including but not limited to the Integrated Postsecondary Education Data System (IPEDS) report relating to ethnic, racial, gender, position, and salary composition of the workforce	Permanent	
	b. Periodic reports, statistics, and other records used in compiling annual, long-term, or special (narrative or statistical) reports, goals, and achievements	1 year	
	c. Affirmative action and related complaint investigation reports	6 years after termination of individual's employment, or 6 years after final determination, whichever is longer	
Evaluations for Promotion, Demotion and Discharge Documentation for Staff		10 years after employee's separation from the University	
FMLA Leave Records		3 years	
Federal Reporting Requirements	Welfare benefits, and other fringe benefit plans	Permanent	
Grievance Files		3 years after final disposition	
Immigration records		3 years or 1 year after termination (whichever is greater)	
Occupational Injury or Illness Records		18 years after of injury or illness	

Offer Letters of Employment		6 years after termination	Sometimes are “contracts” for certain high-level employees
Search Committee Files	These records are search files created in the search, advertising, interviews and hiring for an individual to fill a position within the University.	7 years following the completion of the search	
Training and Professional Development Records		4 years after termination of employment	
Unemployment Compensation Benefit Files and Reports	Claim filed by employee, when claim is approved	6 years after final payment	
	Claim filed by employee, when claim is disqualified	3 years after filing	
	Claim payment reports	6 years after final payment	
Union Organizing Activities		Permanent	
Volunteer Agreements		3 years	
Wage-hour Administrator Certificates and Notices		5 years	
Workers’ Compensation Case Records			
	a. If claim allowed	18 years after injury or illness, or 8 years after last payment, whichever is longer	
	b. If claim disallowed after trial, or case otherwise disposed of without an award after the parties have been given due notice	7 years after injury or illness	
Master Summary Record of all Workers’ Compensation Claims		0 after all claims and/or cases listed in master summary record have been disposed of	
Self-evaluation records required under Americans with Disabilities	a. Voluntary compliance plan for facility, including list of persons	Permanent	

<p>Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations, or requirements</p>	<p>consulted, description of areas examined, transition plan, list of problems identified, and description of modifications anticipated and made</p>		
	<p>b. Copies of work orders, progress notes, and other supporting documentation</p>	<p>1 year after modifications completed</p>	
<p>Inspection reports, reviews, and audits (internal and external) created relative to the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations, or requirements</p>		<p>6 years after building or facility involved no longer in use</p>	
<p>Individual complaint records filed under the provisions of the Americans with Disabilities Act (ADA), Rehabilitation Act of 1973 as amended, or similar state/federal laws, regulations, or requirements, including but not limited to complaint, charge or request for reasonable accommodation, medical reports, responses, records of appeals, correspondence and internal memoranda, records documenting work done in response to complaint or request, and documentation of final resolution</p>	<p>a. When complaint or request is filed by a student, officer, or employee of the University</p>	<p>3 years after resolution of complaint or request and termination of any reasonable accommodation provided</p>	

	b. When complaint or request is filed by person other than a student, officer, or employee of the University involved or the University	3 years after final entry in record, or 0 after person involved attains age 21, whichever is longer	Where a litigation or grievance has been filed, such individual complaint records should be retained for as long as the records of the proceeding are retained.
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10. INFORMATION TECHNOLOGY

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
GENERAL	RESPONSIBLE OFFICE(S): <i>CIO, OIT, ELLUCIAN (VENDOR)</i>		
IT policies, including those covering access and security, systems development, data retention and disposition, and data ownership		3 years after policy withdrawn, revised, updated, or superseded	
Systems and Application Development			
Application development project files and records created and used in the development, redesign, or modification of an automated system or application, including project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.		3 years after completion of project	3 years is standard. Most code is outdated after that time. Most application codes development are with Ellucian, outsourced ERP provider

<p>Data systems specifications, user and operational documentation describing how an application system operates from a functional user and data processing point of view, including records documenting data entry, manipulation, output, and retrieval (often called “system documentation records”), and records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation (or other metadata), job control or workflow records, system specifications, and input and output specifications</p>		<p>3 years after system discontinued, or 0 after system data destroyed or transferred to new operating environment, whichever is longer</p>	<p>Most of the data systems specifications are with the third-party vendors</p>
<p>Data documentation and records generally created during development or modification and necessary to access, retrieve, manipulate, and interpret data in an automated system, including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements (sometimes known as “metadata”)</p>		<p>3 years after system or application discontinued, or 0 after system’s or application’s data destroyed or transferred to new structure or format, whichever is longer</p>	<p>Majority of data documentation are with the third-party vendors.</p>
<p>Automated program listing/source code, including automated program code that generates the machine-</p>		<p>3 system update cycles after code superseded or replaced</p>	<p>NOTE: This item assumes that system backup files are maintained and disposed in</p>

language instructions used to operate an automated information system			accordance with accepted data processing practice (i.e., that 3 generations of backups are retained).
Technical program documentation, including paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs		3 years after replaced or modified, or related programs no longer used	Program maintenance logs are managed by Ellucian
Test database/files, including routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system		0 after no longer needed, but not before user accepts and management reviews and approves test results	Test database and test data managed by Ellucian
Computer Operations and Technical Support			
Data processing operating procedures, including records of procedures for data entry, operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation		3 years after procedure withdrawn, revised, updated, or superseded	Some data processing operating procedures are managed by Ellucian
Data processing hardware documentation and records documenting the use, operation, and maintenance of a University's or the University's data processing		0 after related hardware no longer used and all needed data transferred to and made usable in new hardware environment	OIT

equipment, including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems			
Operating system and hardware conversion plans, including records relating to the replacement of equipment or computer operating systems		1 year after successful conversion	1 yr. sounds ok, but some clarity is needed on what this encompasses
Disaster preparedness and recovery plans, including records related to the protection and reestablishment of data processing services and equipment in case of a disaster		0 after superseded or obsolete	Kuali & OIT
System backup files, including copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction	a. Monthly system back-up files for fiscal systems	0 after 3 system backup cycles, or 1 complete fiscal year after creation, whichever is longer	0 after 3 system backup cycles. Full backups stored for 6 weeks. Monthly backups stored for 6 months to full year for on-prem Systems. Annual system backups may be retained to meet all legal and fiscal requirements in lieu of copies of the individual master files or databases
	b. Other than monthly system back-up files for fiscal systems	0 after 3 system backup cycles	0 after 3 system backup cycles. Full backups stored for 6 weeks. Monthly backups stored for 6 months to full year for on-prem Systems.

<p>System users access records created to control or monitor individual access to a system and its data, including but not limited to user account records and password files</p>		<p>0 after individual no longer has access to system, but not before audit requirements for records modified by that individual have been met</p>	<p>Access records not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud Partner policies. (e.g. Ellucian/Slate/Blackboard etc)</p> <p>System users access records and computer usage records may also serve some security purposes</p>
<p>Computer system security records, including records used to control or monitor the security of a system and its data, such as intrusion detection logs, firewall logs, logs of unauthorized access, and other security logs</p>		<p>10 years after last entry</p>	<p>On-prem Firewall & Access Logs stored for 1 year but we can extend this to 5 yrs after last entry</p>
<p>Computer usage files, including electronic files or automated logs created to monitor computer system usage, such as login files, system usage files, chargeback files, data entry logs, and records of individual computer program usage</p>		<p>0 after 3 system backup cycles</p>	<p>0 after 3 system backup cycles. System logs and reports stored for 1 year.</p>
<p>Summary computer usage reports, including summary reports and other paper records created to document computer usage for reporting or cost recovery purposes</p>		<p>3 complete fiscal years after creation</p>	<p>Vendors, Summary records not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud Partner policies.</p>

<p>Computer run scheduling records, including daily schedules, run reports, run requests, and other records documenting the successful completion of a run</p>		<p>0 after end of current fiscal year, or 1 month after run completed, whichever is longer</p>	<p>Vendors</p> <p>Scheduling records not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud Partner policies.</p>
<p>Input documents and copies of records or forms designed and used solely for data input and control, when the data processing unit provides centralized data input services and original records are retained by the program unit</p>		<p>0 after all data entered into system and, if required, verified</p>	<p>OIT</p> <p>Input records retained for 1 year for fiscal audit purposes are covered in the Fiscal section in this Schedule.</p>
<p>Work/intermediate files, including records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, export, import, manipulate, or sort data within an automated system, and “macro” or “startup” files or other electronic records created to preserve a combination of data elements and/or method of displaying these data elements</p>	<p>a. When export, import or relational data file is used to supply data to or receive data from other system, or to exchange data between files in this system</p>	<p>0 after no longer needed</p>	<p>Ellucian / Cloud Partners</p> <p>These data may have secondary value beyond the purpose for which they are created. Consider additional uses for these data in determining when they are no longer needed.</p> <p>Scheduling records not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud Partner policies.</p>
	<p>b. When all transactions are captured in a master file, central file, valid transaction file, or database, and the file is not retained to provide an audit trail or recreate or document valid</p>	<p>0 after transaction completed</p>	<p>Ellucian Cloud Team.</p> <p>Job records not stored on-prem (all Business systems stored in</p>

	transactions, or needed for system recovery backup		Cloud/SaaS). Retention per Cloud Partner policies.
	c. When electronic file is needed to recreate or document a valid transaction, such as creation of a specific report or study	As long as reports, studies, and other principal records for which file is created are retained	Ellucian / Cloud Partners Job records not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud Partner policies.
Valid transaction files, including records used to update and/or document a transaction in database or master file, such as database management system (DBMS) log, update files, and similar records		0 after 3 database/master file backup cycles	Ellucian Cloud Team Transaction records not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud Partner policies.
Audit trail files, including data generated during the creation of a master file or database used to validate a master file or database during a processing cycle		0 after 3 database/master file backup cycles	Cloud partners Audit Trail/records not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud Partner policies.
Data Administration			
Data/database dictionary records used to manage data in the University's information systems, including information on data element definitions, data structures or file		0 after related application discontinued or modified, or 0 after application's data destroyed	Cloud / SaaS Partners DB records not stored on-prem (all Business systems stored in Cloud/SaaS).

layout, code tables, and other data attribute information or records that explain the meaning, purpose, logical relationships, ownership, use, or origin of data		or transferred to new structure or format, whichever is longer	Retention per Cloud Partner policies.
Data/database dictionary reports and periodic printouts from a data/database dictionary system, including data element attribute reports, database schema, and related records used for reference purposes		0 after superseded or obsolete	Cloud / SaaS Partners DB reports not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud Partner policies.
User/Office Automation Support			
Site/equipment support files and records documenting support services provided to specific data processing equipment or installations, including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda	a. Site visit reports, problem and equipment service reports, and routine correspondence and memoranda	3 years after creation	OIT
	b. Service histories and other summary records	0 after related equipment no longer in use	
	c. Routine records that do not contain substantial information on the maintenance history or site	1 year	
Help desk telephone logs and reports, including records used to document requests for technical assistance and		1 year after creation	OIT

<p>responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes</p>			<p>Incoming calls to on-prem Helpdesk stored for 3 months. After hours Helpdesk, based on Partner's Phone System and Policies.</p> <p>This seems to also imply that there should be a retention period for documented service requests in the University's ticketing system and if so, I suggest that this timeframe be two years after creation.</p>
<p>Software review files and records related to the review and recommendations for software for University use, including vendor information, manuals, software reviews, and related material</p>		<p>0 after superseded or obsolete</p>	
<p>Network/Data Communication Services</p>			
<p>Network site/equipment support files and records documenting support services provided to specific sites and computer-to-computer interfaces on a network, including site visit reports, trouble reports, service histories, and correspondence and memoranda</p>	<p>a. Site visit reports, trouble reports, and related correspondence</p>	<p>3 years after creation</p>	
	<p>b. Service histories and other summary records</p>	<p>0 after related equipment or site no longer in use</p>	

	c. Routine records that do not contain substantial information on the maintenance history or site	1 year	
Inventories of circuits, including automated or paper records containing information on network circuits used by a University or the University, such as circuit number, vendor, cost per month, type of connection, terminal series, software, contact person, and other relevant information about the circuit		0 after circuit no longer used	OIT
Network or circuit installation and service files, including copies of requests by a University or the University to service provider for data communication service, installation, or repair, responses to requests, work orders, correspondence, memoranda, work schedules, and copies of building or circuitry diagrams		1 year after request filled or repairs made	OIT
Network usage files and electronic files or automated logs created to monitor network usage, including but not limited to login files and system usage files		0 after 3 system backup cycles after creation	OIT
Network usage reports, including summary reports and other records		1 complete fiscal year after creation	OIT

created to document computer usage for reporting or other purposes			
Network implementation project files, including records used to plan and implement a network, such as reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams		0 after superseded or obsolete	OIT
Internet Services			
Internet services logs and electronic files or automated logs created to monitor access and use of University services provided via the Internet, including but not limited to services provided via FTP (file transfer protocol), or website, or Telnet services		0 after 3 backup cycles, but not before relevant audit and documentation requirements met	Cloud Partner Data transfer records not stored on-prem (all Business systems stored in Cloud/SaaS). Retention per Cloud partner policies.
Separated Employee - Active Directory Accounts for Separated Employees & Disabled Accounts		1 year from Employee Separation. Older accounts are delete purged from the system.	OIT
Separated Employee - Office 365 Email and Eco-Systems Data including Teams, OneDrive, Sharepoint, Planner and more.		1 year from Employee Separation. Older accounts are delete purged from the system.	OIT
Separated Employee - Computer Backup Data stored on-prem from Separated Employees University issued Computer Hard Drive		1 year from Employee Separation. Older accounts are delete purged from the system.	OIT

Separated Employee - Computer Backup Data in Cloud Backup system (Microfocus Connected Backup)		6 months from Employee Separation. Older accounts are delete purged from the system.	OIT
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11. SAFETY AND EMERGENCY MANAGEMENT

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
	RESPONSIBLE OFFICE(S): SAFETY, FACILITIES		
Campus Incident Reports	Documentation of the incidents that occur on the various campus sites that violate University and/or local laws and regulations. They contain case number, arrest report, incident report, date, time, complainant, address and details of the report.	7 years or 7 years after all individuals involved reach age 21	Only from 2014 when system started
Clery Act Records	a. Annual security report	Permanent	
	b. Notice of availability of the annual security report and related records as distributed or made available to enrolled and prospective students and current and prospective employees	3 years after superseded or obsolete	Email to community
	c. Crime logs and crime statistics, including lists of crimes by location and relevant maps, other than those statistics included in the annual security report	3 years from latest publication to which they apply	e.g. 2016 stats/logs must be kept until at least October 1, 2022
Sex Offender Registration Records	Sex offender registration records, including but not limited to official notification upon registration, change		

	of address information, determination of final risk level, notification of error or change in jurisdiction, notification that offender is no longer registerable, annual address verification, 90-day personal verification (for level 3 offenders), and community notification information		
	a. For level 1 or 2 offender, when offender remains in local law enforcement agency's jurisdiction	0 after death of individual, or 5 years after completion of registration period, whichever is shorter	
	b. For level 1 or 2 offender, when offender has left local law enforcement agency's jurisdiction	0 after death of individual, or 5 years after offender leaves jurisdiction, whichever is shorter	
	c. For level 3 offender, when offender remains in local law enforcement agency's jurisdiction	0 after death of individual, or individual attains age 100, whichever is shorter	
	d. For level 3 offender, when offender has left local law enforcement agency's jurisdiction	0 after death of individual, or 5 years after offender leaves jurisdiction, whichever is shorter	
Communications log (radio, telephone, alarm, or other) recording each communication between caller and receiving unit or between dispatch unit and mobile unit or field personnel, for law enforcement agency or emergency medical or central emergency dispatch unit [we		3 years after last entry	A log should be created for calls between caller and dispatch unit/law enforcement agency

do not have computer-aided dispatch system so not applicable]			
Disaster Preparedness Plans and Records	Official copy of plans, including supporting maps, whether created by Mercy or externally	Permanent	
	Background materials and supporting documentation used in preparation of plans	3 years	
Disaster Response and Damage Files Compiling Information on the Response of all Agencies to a Major Disaster	Including records such as photographs, press clippings, property damage reports, records of emergency response, summary reports of personal injuries, records relating to demolition and new construction, and correspondence	Permanent	
Fire Department Inspection Records		4 years	
Fire, Internal Disaster and Evacuation Plan Drills		3 years after superseded or obsolete	
Material Hoists, Personnel Hoists and Elevator Standards and Certification Records		4 years	Ask Tom/Facilities
Measurement of Noise		4 years	Ask Tom/Facilities (boiler room)
Periodic Inspection of Extinguishing Systems		Until the container is re-inspected or taken out of service	
Required Testing of Fire Protection Equipment		years	
Traffic and parking violation records, including parking, "boot and tow" records; and related records		2 years after payment of fine, or 2 years after any litigation has been completed, whichever is applicable	

Individual's driving and accident records	a. Order, report, or notice concerning vehicle operator's license or registration, including but not limited to order of suspension or revocation of license, notice of compliance with order of suspension or revocation, notice of noncompliance, notice of restoration of license, and report of lost or stolen plates	3 years	
	b. Driver's summary record of accidents, violations, and other activities	0 after death of individual, or 90 years after date of birth, if death not verified	
Vehicle accident case record, including vehicle accident report and related records		6 years (if no litigation is brought), or 6 years after any litigation has been completed, whichever is applicable, but not before youngest individual involved attains age 21	

12. STUDENT AFFAIRS

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
	RESPONSIBLE OFFICE(S): <i>STUDENT AFFAIRS, ACCESSIBILITY, ATHLETICS, CAREER SERVICES, RESIDENTIAL LIFE, HEALTH AND WELLNESS, REGISTRAR, PACT</i>		
Athletics			

Athletic Health Information	Report determining student eligibility to participate in campus sports activities	6 years after graduation or date of last attendance	
Athletic Program Records	a. Lists of athletes or participants, records of intercollegiate competitions and intramural athletics, and other records, except scouting and training videotapes and other records	6 years	NOTE: Official score and record books, team and action photos, and videotapes of and programs for inter- collegiate competitions may have historical value in documenting intercollegiate student athletics and therefore kept permanently.
	b. Videotapes, reports and other records used for scouting and training purposes	0 (after no longer needed)	
Athletic Recruitment File	Player recruitment/ scouting file concerning recruitment of student athletes for University sports programs, including but not limited to scouting reports, lists of prospects, recruitment proposals, and correspondence		
	a. For student athletes entering University	3 years after graduation or date of last attendance	
	b. For student athletes who do not enter University	0 (after no longer needed)	
Athletic Scholarship File	Including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, and correspondence	6 years	
Athlete Substance or Alcohol Abuse Testing Records	a. Positive test results and related records	6 years after last entry	
	b. Negative test results	3 years	

Athletic Training Records	Athletic training records, including but not limited to records of training provided individual athletes and staff	6 years after last entry	
Licensing Agreements		Permanent	
NCAA Infraction Files	Documentation of the investigation of suspected/confirmed infractions of rules and regulations.	Substantiated allegations, permanent; unsubstantiated allegations, 7 years after disclosure	
Title IX Compliance Records	Records of gender equity in athletics, including audit and self-evaluation records for male and female athletes and related records, such as records created pursuant to Title IX of the Education Amendments of 1972, codified in Sections 1681-1688 of 20 USC and Section 106.41 of 34 CFR	6 years	
Student Counseling and Health 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 also covering tutoring and mentoring services provided for and received by students	6 years after graduation or date of last attendance	
List of Student Appointments	Including slips, return cards, counseling schedules, or appointment books	0 after superseded or obsolete	
Statistical Compilation or Reports of Students Served		0 after no longer needed	

Health Office Records			
Communicable disease individual case records			
	a. Communicable disease case report or equivalent record, including copy of laboratory report	6 years after discharge or last contact, or 0 after individual attains age 21, whichever is longer	
	b. Supplementary reports on communicable diseases	2 years	
	c. Typhoid carrier records	2 years after death or release of restrictions	
	d. Syphilis treatment case record	40 years	
	e. Sexually transmitted disease case record, except syphilis	6 years, or 0 after individual attains age 21, whichever is longer	
Nursing services report, including shift report		1 year	
Medical waste disposal records relating to generation, transportation, and disposal of regulated medical waste			
	a. Medical waste tracking records, including exception reports	3 years after waste accepted for transport	
	b. Records created by generators who destroy regulated medical waste on site	3 years after waste destroyed	
	c. Annual reports prepared by waste generator or transporter	3 years	

Master summary record, master index file, or principal register giving basic data on individual patients		Permanent	
Immunization Records	Including authorization and/or parental consent	6 years, or 0 after individual attains age 21, whichever is longer	
Laboratory			
	a. Register of laboratory tests performed	7 years	
	b. Record of collection of specimens	7 years	
Laboratory Test Data File, Providing Summary and/or Detailed Information on Clinical Laboratory Tests Performed and Results		7 years	
Preventive Maintenance, Service, or Repair Record for Laboratory Equipment or Instrument		As long as equipment or instrument remains in use and test results using equipment or instrument are retained	
Quality Control Records Covering Laboratory Equipment and Procedures		As long as test results using equipment are retained, but not less than 2 years	
Student Health Service Case Record		6 years after last entry	
Vaccine Distribution and Usage Records	a. Official record of distribution and usage	25 years	
	b. Statistical or similar record of vaccines administered	5 years	
Mental Health Counseling Records		6 years after graduation or date of last attendance	

Student Appointment Records		0 after superseded or obsolete	
Resource Materials		0 after no longer needed	
Disciplinary Records			
Disciplinary Records	a. Code of Conduct violations where penalty imposed is suspension or expulsion	Permanent	
	b. Code of Conduct violations where penalty imposed is fine, restitution, warning, censure, no-contact order, probation, training or community service (not suspension or expulsion)	7 years from date of record	
ACCESSibility, Career, Student Life and Residential Life Records			
Student ACCESSibility File	Including but not limited to information on disability, correspondence with student's sponsoring agency, orders for special equipment, and notes of contacts with counselors	6 years after graduation or date of last attendance	
Career Placement Records	Including but not limited to records of on-campus visits and interviews, job fairs, employer information sessions, and job searches, but not including individual student counseling records	0 after no longer needed	
FERPA Records	a. Record of requests for access to and disclosures of personally identifiable information from student education records, as required by FERPA regulations	Same period the requested records are maintained	
	b. Request for nondisclosure of directory information or non-	1 year after request terminated or no longer valid, or 1 year after	

	participation in surveys on or activities in designated areas	concerned records no longer maintained	
	c. Consent for records disclosure	1 year after consent terminated, or 1 year after concerned records no longer maintained	
	d. Waiver of right to inspect and review confidential letters and statements placed in student education records	1 year after waiver terminated, or 1 year after concerned records no longer maintained	
	e. Directory Information Policy Statement	Permanent	
	f. 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	3 years after superseded or obsolete	
Student Advising (PACT) Records		5 years after termination of enrollment	
Residency Occupancy Records, Including but not Limited to Room and Board Agreements, Room Assignments, and Records Pertaining to Damage of Dormitory Equipment and Furnishings		6 years after expiration of agreement or room assignment	
Student Newspaper		3 years	
Student Activity or Organization Records	Including lists of members or participants, records of activities, competitions and performances, and other records of officially supported student activities and organizations, except scouting records and scouting and training videotapes	6 years	May be retained longer

International Students and Study Abroad Records			
International Student Forms (Visas, Financial Certs)		1 year after graduation or date of last attendance (F-1)	
Study Abroad Records		7 years	

13. TITLE IX/EQUITY COMPLIANCE

RECORD TYPE	DESCRIPTION	MINIMUM RETENTION PERIOD	NOTES
	RESPONSIBLE OFFICE: <i>TITLE IX/EQUITY COMPLIANCE</i>		
Individual complaint or case file of human rights, including individual case summary record, filed in or referred to New York City Commission on Human Rights, New York State Division of Human Rights, Equal Employment Opportunity Commission, or other administrative agency		6 years after termination of individual's employment, or 6 years after last entry, whichever is longer	
List of complaints of discrimination, including sexual harassment and sexual misconduct		Permanent	
Records relating to investigations of discrimination and sexual harassment that are dismissed or where the party does not wish to pursue		3 years	

Records relating to investigations of discrimination and sexual harassment that are dismissed or where the party does not wish to pursue		Permanent	
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