

Records Retention Schedule

A record series is a group of related records filed and/or used together and are evaluated as a unit for retention and disposition purposes. A records retention schedule is a comprehensive list of record series, indicating for each the length of time the series is to be maintained.

No document list can be exhaustive. Documents that are not listed but are substantially similar to those listed in this Retention Schedule should be retained for the same length of time as the similar records.

Responsibility

All employees are responsible for ensuring that records are managed in accordance with University policies and in compliance with applicable federal and state laws. The same safeguards and controls over information stored electronically apply to information created and maintained in paper form. Departments must retain records according to the University Retention Schedule.

Exceptions

The University Retention Schedule is subject to the exceptions listed below:

- A litigation hold has been implemented which specifies records that must be retained beyond their scheduled retention period.
- Contract requirements have a specific records retention requirement as a stipulation of the award that exceeds the retention period listed on the University Retention Schedule.
- The records are subject to an audit that has not been completed.
- Other exceptions to the University Retention Schedule which have been submitted directly to and approved by University Records Management Staff.

Definitions:

Calendar Year - January 1 - December 31 of each year.

Department Copy - Copy of a record held by a department that has been sent to another University department for processing.

Fiscal Year - The University is on a July 1 - June 30 fiscal calendar. The Fiscal year "title" is the year it ends with. For example, July 1, 2022 - June 30, 2023, is Fiscal Year 2023.

Official Copy - Copy of a record designated to satisfy an organization's retention requirements for information that exists in multiple copies.

Superseded - An older version of a record that has been replaced with a new version.

Transitory - A record of short-term value that can be destroyed immediately or after meeting its temporary need.

Note: * These record series are awaiting final approval by University Counsel. Until that approval, please consider these retentions as guidelines.

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Academic Records

Academic Rules and Regulations (ACA-002)

Publication (printed within the University catalog) governing graduate and undergraduate students.

a. University Senate copy

RETENTION: Permanent in University Archives

b. Department copy

RETENTION: 0 after no longer needed

***Accreditation Reports (ACA-001)**

Accreditation reports prepared and sent to external agencies such as the NYS Education Department, National Accrediting Board, Middle States Association of Colleges and Schools and/or discipline specific accreditation boards.

RETENTION: Permanent

Class Lists (ACA-003)

Lists of students enrolled in academic courses.

RETENTION: 1 year

Course Descriptions and Syllabi (ACA-004)

Information on individual courses taught, including but not limited to course descriptions, syllabi, reading lists, handouts, and assignments.

Note: Academic departments may want to designate selected course descriptions/syllabi as historically significant and send the records to Archives for permanent retention if the course is cutting edge, employs new teaching methodology, or reflects a change in the department's development.

RETENTION: 7 years

CITATION: New York Civil Practice Law and Rules § 213

Curriculum Change - Academic Course (ACA-006)

Records and reports relating to the development of or change to an academic course.

RETENTION: 0 after approved by University Senate

Curriculum Change - Academic Program (ACA-005)

Records and reports relating to the development of or change to an academic program including letters and materials submitted to NYS Education Department for registration.

RETENTION: Permanent in University Archives

Administrative Records

Collection Administrative Files (ADM-061)

Records documenting the appraisal, accessioning, deposit, or donation of materials.

RETENTION: Permanent

Computer Recycling Form - Department Copy (ADM-055)

Form used for recycling obsolete electronic equipment.

RETENTION: Current fiscal year plus 1 year

Computer Recycling Form - Purchasing Copy (ADM-005)

Form used for recycling obsolete electronic equipment.

RETENTION: Current fiscal year plus 7 years

Correspondence - Contractual and Financial (ADM-063)

Correspondence between individuals, departments, or external parties containing contractual and financial information.

RETENTION: 7 years after obligation ends

Correspondence - New York State Departments of Health and Environmental Conservation (ADM-064)

Correspondence with New York State Department of Health and New York State Department of Environmental Conservation.

RETENTION: Current fiscal year plus 3 years

Correspondence - Policy Related (ADM-062)

Correspondence between individuals, departments, or external parties related to significant policy or decision making.

RETENTION: Permanent

Correspondence - Transitory (ADM-065)

Correspondence between individuals, departments, or external parties containing no substantive contractual, financial, or policy information.

RETENTION: 0 after no longer needed

Administrative Records

***Early Education/Child Care Enrollee File (ADM-004)**

Files for minors enrolled in early education and/or child services.

RETENTION: 10 years after child attains age 18

CITATION: False Claims Act (31 USC 3729)

Equipment Inventory Records - Department Copy (ADM-009)

Cumulative list of major equipment (cost \$5000 or more) owned, leased, or in the care, custody, or control of the University, received by a department.

RETENTION: Until Superseded

Equipment Inventory Records - Property Management Copy (ADM-008)

Cumulative list of major equipment (cost \$5000 or more) owned, leased, or in the care, custody, or control of the University, updated and distributed to departments.

RETENTION: Current fiscal year plus 7 years

Excess Property Disposal Form - Department Copy (ADM-014)

Form documenting department property to be disposed of through Excess Property.

RETENTION: Current fiscal year plus 1 year

Excess Property Disposal Form - Excess Property Copy (ADM-013)

Form documenting department property to be disposed of through Excess Property.

RETENTION: Current fiscal year plus 7 years

CITATION: New York Civil Practice Law and Rules § 213

Food Program Records (ADM-052)

Files relating to meals served as part of the Federal Assistance Program.

RETENTION: 3 years after submission of final expenditure report to USDA

CITATION: 7 CFR 3015.21-.22

Handbooks and Office Manuals - Non-University Generated (ADM-068)

Handbooks, manuals, and other training materials.

RETENTION: 0 after no longer needed

Administrative Records

Handbooks and Office Manuals - University Generated (ADM-067)
Handbooks, manuals, and other training materials.

RETENTION: until superseded

Meeting Minutes and Agendas - Chair Copy (ADM-072)
Agendas and minutes of meetings.

RETENTION: Permanent

Meeting Minutes and Agendas - Distribution Copy (ADM-073)
Agendas and minutes of meetings.

RETENTION: 0 after no longer needed

Membership Files (ADM-021)
Records and reports relating to memberships in organizations associated with the University.

RETENTION: 7 years after termination of membership

CITATION: New York Civil Practice Law and Rules § 213

Parking Client Files (ADM-022)
Records relating to parking services provided to employees and students, including but not limited to applications, permits, and violations.

RETENTION: 7 years

CITATION: New York Civil Practice Law and Rules § 213

Postal Records (ADM-020)
Documentation of mail sent/received including returned registered or certified mail card, or receipt and insurance receipt.

RETENTION: Current fiscal year plus 1 year

***Project Files - Financial Files (ADM-030)**
Files, folders, and records, including but not limited to, invoices and reimbursements pertaining to projects initiated by the University.

RETENTION: 7 years from end of contract or service

Administrative Records

***Project Files - Historic Significance (ADM-029)**

Final reports, historically significant research and files that contributed to projects initiated by the University. This does not include routine research and development for the project, only that which has an enduring historical value.

RETENTION: Permanent

***Project Files - Transitory (ADM-031)**

Research and development files and data pertaining to projects initiated by the University that is no longer needed after the project has been approved, denied, or begun.

RETENTION: 0 after no longer needed

Reports - Contractual or Financial (ADM-024)

Daily, weekly, monthly, quarterly, annual, or other periodic reports containing contractual or financial information.

RETENTION: Current fiscal year plus 7 years

Reports - Final and Annual (ADM-023)

Summary reports issued annually or at the close of an event or project.

RETENTION: Permanent

Reports - Transitory (ADM-025)

Daily, weekly, monthly, quarterly, annual, or other periodic report containing no substantive contractual, financial or policy information.

RETENTION: 0 after no longer needed

Room Reservation Files (ADM-037)

Records relating to the scheduling or reservation of rooms or facilities.

RETENTION: 0 after no longer needed

Software (ADM-039)

Software used in department offices, including any supporting materials.

Note: Software is often governed by a licensing agreement which has a contractual retention of 7 years

RETENTION: 0 after superseded

Administrative Records

Subject Files, Administrative - Historically Significant (ADM-040)

Files documenting significant department activities, including policy decisions, actions taken, major events, and involvement with important committees and outside organizations.

RETENTION: Permanent.

Subject Files, Administrative - Transitory (ADM-054)

Files documenting regular department activities, not historically significant in nature.

RETENTION: 0 after no longer needed

Telephone Call Listings - Telecommunications (ADM-042)

Forms, billing records or lists used to document telephone charges.

RETENTION: 7 years

CITATION: New York Civil Practice Law and Rules § 213

Work Orders - Ordering Department (ADM-047)

Forms, files, and databases used to track requests, including but not limited to ITS Work Order Request; Photo Print Order Form; and Housing and Food Services Work Order Maintenance System records.

RETENTION: Current fiscal year plus 1 year

Environmental Records

***Air Quality Records (ENV-001)**

Air Discharge Permits and records on PCB compliance.

RETENTION: Permanent

***Dosimetry Records (ENV-005)**

Records and reports of instrumentation used to detect radioactivity.

RETENTION: Permanent

***Radioactive Materials Records (ENV-014)**

Reports and records documenting New York State Department of Health and Department of Environmental Conservation compliance regarding usage of radioactive materials at the University.

RETENTION: 3 years in office or until Nuclear Regulatory Commission authorizes disposition, whichever is longer.

***Waste Disposal Records (ENV-015)**

Records documenting the disposal of waste, including acid/base neutralization records and manifests.

RETENTION: Hold all records for 3 years, purge all records except the manifests. Keep Manifests permanently.

***OSHA Related Records (ENV-016)**

Reports and records relating to OSHA requirements, including but not limited to Pesticide Notifications.

RETENTION: 30 years

Financial Records

***Account Files (FIN-029)**

Reconciliations and documentation of account activities related to a specific account, such as restricted account files and Treasurer's Office portfolio files.

RETENTION: 7 years

***Accounts Payable Billing Records (FIN-030)**

Documentation of all records billed to University, including credit card accounts.

RETENTION: 7 years

***Bank Statements (FIN-034)**

Banking records, including deposit and withdrawal records, bank statements and reconciliations, and canceled checks.

RETENTION: Current fiscal year plus 7 years

***Broker Records (FIN-001)**

Records relating to security transactions.

RETENTION: 10 years

***Budget Records - Carry-over Calculations (FIN-048)**

Calculations substantiating carried over amounts from the previous year as part of the annual budget process.

RETENTION: 30 years

Budget Records - Department Copy (FIN-013)

Records relating to annual budget process including printouts and supporting documentation.

RETENTION: Current fiscal year plus 3 years

***Budget Records - Year End Closings (FIN-049)**

Final year end Budget Report as part of the annual budget process.

RETENTION: 20 years

***Bursar Records (FIN-026)**

Files and records of student financial billings.

RETENTION: 7 years

Financial Records

***Endowment Records - Wills and Endowment Bequests (FIN-003)**

Records and reports relating to endowments given to the University.

RETENTION: Permanent

Federal Audit Papers (FIN-025)

Records that are required to satisfy an audit of Federal financial aid programs, including but not limited to, Federal Work Study.

RETENTION: 7 years

CITATION: 34 CFR § 668.24(e); NY CPLR § 213

***Financial Statements (FIN-004)**

Records and reports relating to financial records and fiscal expenditures.

RETENTION: Current fiscal year plus 7 years

***General Ledger Records (FIN-039)**

Documents and reports of general ledger entries from departments to General Accounting to be used to produce University annual financial report.

RETENTION: Permanent

***Grant Files, Accounting (FIN-040)**

Records and reports relating to accounting records of grant programs.

RETENTION: 7 years after close of contract. Retain paperwork relating to equipment purchased under contract as long as equipment in use, but no less than 7 years after end of contract.

***Journal Entries and Supporting Documentation (FIN-028)**

Journal entries and the supporting documentation attached.

RETENTION: Current fiscal year plus 7 years

Interdepartmental Orders (ID) - Department Copy (FIN-015)

Forms used to purchase items or services from another University department.

RETENTION: Current fiscal year plus 1 year

Financial Records

Interdepartmental Orders (ID) - Disbursements Copy (FIN-014)

Forms used to purchase items or services from another University department.

RETENTION: Current fiscal year plus 7 years

***Inventory Records, Depreciation (FIN-041)**

Printout of assets purchased, showing depreciation, used to calculate and record depreciation expense for the current year.

RETENTION: 7 years

***Invoices (Billed) (FIN-042)**

Invoices for items and services provided by departments within the University.

RETENTION: Current fiscal year plus 7 years

Invoices (Paid) (FIN-017)

Invoices for items received and paid for, other than the University purchasing system.

RETENTION: Current fiscal year plus 7 years

***Periodic Reports Budgets - Fall Budget Revision and Backup Tuition & Fees (FIN-052)**

Reports that support budget revisions.

RETENTION: 20 years

***Perkins Loan Government Assignments (FIN-027)**

Student loans assigned to the Federal government to handle collection.

RETENTION: Review 20 years from date of records

Procurement Card Statements (FIN-018)

Monthly billing statements from bank detailing charges by individual cardholders.

RETENTION: Current fiscal year plus 7 years

Purchase Requisitions - Department Copy (FIN-020)

Forms used to purchase supplies, equipment, or services.

RETENTION: Current fiscal year plus 1 year

Financial Records

Purchase Requisitions - Purchasing Copy (FIN-019)

Forms used to purchase supplies, equipment, or services.

RETENTION: 7 years after order filled

***Reports, Accounting and Financial (FIN-005)**

Bank reconciliation, account reconciliation, and general ledger reports, used to document account balances.

RETENTION: Current fiscal year plus 7 years

***Tax Records - New York State and Federal (FIN-045)**

Forms and reports used to document federal and state tax payments.

RETENTION: 7 years

Travel Vouchers - Department Copy (FIN-023)

Forms and supporting material used to request travel advances or to substantiate travel expenses for reimbursement.

RETENTION: Current fiscal year plus 3 years

Travel Vouchers - Disbursements Copy (FIN-022)

Forms and supporting material used to request travel advances or to substantiate travel expenses for reimbursement.

RETENTION: Current fiscal year plus 7 years

***Treasurer's Office - Security Gift Information (FIN-011)**

Treasurer's Office financial, tax, and brokerage records and reports

RETENTION: Permanent

Health Records

Client Files, Medical - Adult (HEA-005)

Files for adults, 18 years and over at the time of visit, receiving services at university run medical clinics, including but not limited to counseling, therapy, rape and substance abuse, employee assistance, and clinical services. This record series applies to community members receiving services, not students. For students see HEA-001 or HEA-002.

RETENTION: 10 years after discharge or last visit

CITATION: False Claims Act (31 USC 3729)

Client Files, Medical - Minor (HEA-006)

Files for minors, under the age of 18 at time of visit, receiving services at university run medical clinics, including but not limited to counseling, therapy, rape and substance abuse, employee assistance, and clinical services. This record series applies to community members receiving services, not students. For students see HEA-001 or HEA-002.

RETENTION: 10 years after child attains age 18

CITATION: False Claims Act (31 USC 3729)

***Immunization Records (HEA-003)**

Records documenting immunizations received on campus, including but not limited to immunization type, signed consent form, vaccine status documentation, related documentation, and correspondence for students, faculty, and staff.

RETENTION: 7 years after last visit

CITATION: 8 NYCRR 63.9 (b)(4)(ix)(sla)

***Pharmacy Records (HEA-004)**

Records documenting the administration of University operated pharmacy services, including but not limited to inventories, logs, prescriptions, and related documentation and correspondence.

RETENTION: 7 years

CITATION: 8 NYCRR 63.6 (b)(7)

***Student Athlete Medical Records (HEA-007)**

Record of medical history of athlete, including but not limited to accident reports, treatment consents, prescription records, treatment records, insurance forms and records, and other related correspondence.

RETENTION: 10 years after graduation or date of last attendance

Health Records

***Student Counseling Records (HEA-002)**

Records of counseling activities with students relating to emotional, psychological, personal, or social concerns. These records may include, but are not limited to case notes, test results, psychiatric and/or psychological information, substance abuse information, diagnosis, treatment plans, referrals, evaluations, case summaries, billing information, and related documentation and correspondence.

RETENTION: 7 years after last visit

CITATION: 10 NYCRR 405.10 (4)(sla),(slc)

***Student Medical Records (HEA-001)**

Records documenting student medical histories. This may include, but is not limited to medical charts, name, medical history, accident reports, initial physical examinations, immunization records, X-ray results, hospital emergency room records, reports from outside doctors, billing for services received, authorizations for release of records, and related documentation and correspondence.

RETENTION: 7 years after last visit

CITATION: 10 NYCRR 405.10 (4)(sla),(slc)

Legal Records

Audit Records - Department Copy (LEG-037)

Records of the audited department produced for the auditing agency and the copy of the resulting audit.

RETENTION: 1 year after completion of audit

Audit Records - Internal Audit Copy (LEG-036)

Records of an audit generated by the auditing agency.

RETENTION: 15 years after completion of audit

***Auto Insurance Claims (LEG-052)**

Records and reports related to auto insurance claims (Risk Management)

RETENTION: 7 years

***Client Files, Legal (LEG-056)**

Client files of people receiving services at university run legal clinics, including but not limited to elder law, criminal defense, bankruptcy, disability rights clinics.

RETENTION: 10 years after last visit

***Compliance Files, Athletic - Program Related Files (LEG-001)**

Compliance files including audit reports, calendars, agendas, and meeting minutes of compliance conference calls.

RETENTION: Permanent

Conflict of Interest Questionnaire - Office of Compliance/Office of Board of Trustees (LEG-029)

Form completed annually by members of the Board of Trustees and all full-time and part-time faculty and staff, except for those represented by a labor union, indicating potential conflicts of interest between personal or outside interests or activities and those of the University.

RETENTION: 7 years from date of execution of form

Conflict of Interest - Financial (LEG-030)

Form completed annually by research faculty, indicating potential conflicts of interest between personal or outside interests or activities and those of the University.

RETENTION: 7 years from termination of grant or end of conflict

Legal Records

***Contracts - General (LEG-042)**

Legal agreement between the University and internal or external parties, including but not limited to vendors and contractors, facility use contracts, rental agreements, patent agreements, liquor bonds, author contracts, and bargaining unit contracts.

RETENTION: 7 years after end of contract

***Donor Estate Files - Scanned (LEG-040)**

Information, correspondence, and legal documents relating to estates of which the University is a beneficiary.

RETENTION: 8 years after scanning

***Donor Files (LEG-039)**

Records of donations (financial or material) made to the University.

RETENTION: Permanent

***Grant Files, General - Successful Proposals (LEG-044)**

Records and reports relating to grant programs.

RETENTION: 7 years after final payment

***Insurance Records and Policies (LEG-049)**

Records and reports relating to insurance policies including certificate of insurance.

RETENTION: Permanent

***Liability and Property Claims (LEG-051)**

Records and reports related to liability and property claims (Risk Management)

RETENTION: 7 years

***Overseas Business Records - England (LEG-014)**

Business records relating to offices located in England.

RETENTION: 6 years

CITATION: England Companies Act Sect. 2222, Income Tax Regulation 1993, Sect. 55

Legal Records

***Overseas Business Records - France (LEG-012)**

Business records relating to offices located in France.

RETENTION: 10 years

CITATION: French Commercial Code Article 16, French Labor Code L. 143-14

***Overseas Business Records - Hong Kong (LEG-016)**

Business records relating to offices located in Hong Kong.

RETENTION: 7 years

CITATION: Hong Kong Inland Revenue Ordinance Section 51C, 49C

***Overseas Business Records - Italy (LEG-010)**

Business records relating to offices located in Italy.

RETENTION: 7 years after last transaction

CITATION: Italian Civil Code Article 2220 and Article 2955

***Overseas Business Records - Spain (LEG-008)**

Business records relating to offices located in Spain.

RETENTION: 5 years after last transaction

CITATION: Spanish Commercial Code Article 30 and Civil Code Article 1967

Records Management Forms - Department Copy (LEG-035)

Deposit and destruction forms used for storage of records and files in University Records Center

RETENTION: 1 year after destruction of records

Records Management Forms - Records Management Copy (LEG-034)

Deposit and destruction forms used for storage of records and files in University Records Center

RETENTION: Permanent

Subpoenas and Court Orders (LEG-025)

Federal or State subpoenas, court orders, and related documentation pertaining to students or employees.

RETENTION: 7 years

Personnel Records

Benefit Records - Death Claim File (PER-002)

Employee benefit records including applications and signed enrollment cards, retirement records, and beneficiary information of deceased employees.

RETENTION: 21 years after death of employee

Benefit Records - Incident File (PER-001)

Employee benefit records including applications and signed enrollment cards, retirement records.

RETENTION: 7 years after resolution

Benefit Records - Retiree/TIAA File (PER-003)

Employee benefit records including applications and signed enrollment cards, retirement records, and beneficiary information.

RETENTION: 80 years after retirement

***Benefit Records - Tuition Files (PER-064)**

Employee tuition assistance benefit records including, but not limited to, applications tax records, status forms, etc.

RETENTION: 21 years

COBRA Files (PER-048)

Consolidated Omnibus Budget Reconciliation Act of 1985 (COBRA) files documenting continuance of medical and dental coverage after termination of employee.

RETENTION: 7 years after end of eligibility

CITATION: NY Civil Practice Law and Rules § 213

EEO 01 Report (PER-049)

Equal Employment Opportunity Standard Form 100, known as the EEO 01 Report, showing ethnic groupings employed.

RETENTION: 5 years after filing with Equal Employment Opportunity Commission

CITATION: 29 CFR § 1607.4; § 1602.48

Personnel Records

EEO 06 Report (PER-050)

Institutional profile of workforce by occupation, race, sex, and personnel activity (hires, fires, transfers, promotions)

RETENTION: 5 years after filing with Equal Employment Opportunity Commission

CITATION: 29 CFR § 1607.4; § 1602.48

Employee Assistance Files (PER-047)

Files containing information shared between client and counselor during sessions.

RETENTION: 7 years from date of last contact

CITATION: (ADA); 42 USC § 12101; 29 CFR § 1630.14(d)(1)

Employee Grievance Records - External Agency (PER-006)

Records and reports relating to employment-related complaints filed through an outside agency.

RETENTION: 4 years in office after close of case

Employee Grievance Records - Internal (PER-007)

Records and reports relating to employment-related complaints filed within the University directly.

RETENTION: Permanent

Employment Verifications (PER-009)

Written verifications of employment (i.e., job title, employment dates, salary, etc.) for current and former employees for lending institutions, provided to governmental agencies, lawyers, and prospective employers.

RETENTION: 1 year

CITATION: Title VII; ADA; U.S. Equal Employment Opportunity Commission Regulation - 29 CFR § 1602.49, 29 CFR § 1602.14

Faculty Promotion and Tenure Review (PER-011)

Materials relating to the tenure and/or promotion process for faculty.

RETENTION: 7 years from close of review

CITATION: New York Civil Practice Law and Rules § 213

Personnel Records

I-9 Form (PER-012)

Employment Eligibility Verification form [I-9] required by employees hired after November 1986 to prove they are entitled to work in the United States.

RETENTION: 3 years from date employment begins or 1 year after employment ceases, whichever is greater

***Insurance Claims - Disability Files (PER-063)**

Records documenting employee participation in disability insurance plans offered by the University. This may include, but is not limited to, medical information, transmittal forms, campus reports, return to work forms, adjustment forms, copies of insurance payment checks, and related documentation and correspondence.

RETENTION: 7 years

CITATION: New York Civil Practice Law and Rules Section 214 - 3 years statute of limitation for an action to recover damages for a personal injury except as provided in section 214-b, 214-c, and 215

Insurance Claim Records - Unemployment Insurance (PER-046)

Unemployment insurance claims filed listing last day of work, reason for leaving and earnings for prior year.

RETENTION: 3 years

CITATION: 29 CFR § 1602.48; § 1602.49

***Insurance Claim Record - Worker's Compensation (Allowed) (PER-041)**

Records and reports relating to Worker's Compensation insurance claims.

RETENTION: 18 years after the injury or illness; or 8 years after final payment on the award; whichever occurs later

CITATION: NYS Sect. 110

Insurance Premiums (PER-051)

Records and reports relating to insurance premiums paid by the University and its employees.

RETENTION: 7 years

CITATION: 29 USC § 1027; NY CPLR § 213

Job/Position Data Files (PER-013)

Descriptions of positions used for initial classification and evaluation and for re-classification.

RETENTION: 2 years after classification description approved

Personnel Records

Job Opportunities (PER-052)

Online listing of open employment positions

RETENTION: 3 years

CITATION: (ADEA); 29 CFR § 1627.3(b)

***Leave of Absence Form - Employee (PER-039)**

Form used to request and provide information about educational, medical, military, personal, family or public service leave.

RETENTION: 3 years after information entered database

CITATION: (FMLA); 29 CFR. § 825.500

Payroll Deduction Authorizations (PER-065)

Employee payroll deduction authorizations, including but not limited, to W4's and direct deposit forms.

RETENTION: 2 years from date of record or 2 years following an involuntary termination

CITATION: Title VII; ADA: U.S. EEOC Regulation - 29 CFR § 1602.49; 29 CFR § 1602.14

***Payroll Records (PER-060)**

Records and reports relating to payroll records of employees.

RETENTION: 7 years

Performance Reviews - Department Copy (PER-017)

Documentation of an employee's annual performance.

RETENTION: 0 after termination

Performance Reviews - Human Resources Copy (PER-016)

Documentation of an employee's annual performance.

RETENTION: 7 years after termination

Personnel Applications (PER-018)

Non-faculty and professional applications for positions.

RETENTION: 2 years from date of making personnel action or record involved, whichever is later

CITATION: (ADEA) 29 CFR § 1602.49

Personnel Records

Personnel Files - Faculty (PER-010)

Personnel files maintained on University faculty, including annual performance reviews.

RETENTION: Permanent

Personnel Files - Staff - Department Copy (PER-035)

Personnel files maintained on University staff, including annual performance reviews.

RETENTION: 0 after no longer needed

Personnel Files - Staff - Human Resources Copy (PER-019)

Personnel files maintained on University staff, including annual performance reviews.

RETENTION: 7 years after termination

Personnel Files - Student Employee - Department Copy (PER-030)

File maintained on student employed by the University.

RETENTION: 1 year after student terminates employment with department

Personnel Files - Student Employee - Human Resources (PER-028)

File maintained on student employed by the University.

RETENTION: 7 years after end of employment

Personnel Files - Student Employee - Student Living Copy (PER-029)

File maintained on student employed by the University.

RETENTION: 5 years after end of employment

Personnel Files - Trustees (PER-036)

Personnel files maintained on University trustees, including but not limited to correspondence, clippings, biographical statements, Advancement information, and photographs.

RETENTION: Permanent in Archives

Search Files - Department Copy (PER-023)

Files created when search is underway to fill a position, often involving a search committee.

RETENTION: 4 years after close of search

Personnel Records

Search Files - Human Resources Copy (PER-022)

Files created when search is underway to fill a position, often involving a search committee.

RETENTION: 5 years after close of search

Time Sheets (PER-045)

Forms used to document time worked by non-exempt and student employees.

RETENTION: Current fiscal year plus 7 years

CITATION: 29 CFR § 516.5; 34 CFR 668.24

***Training Records - OSHA (PER-043)**

Files, forms, or records used for tracking training on or off campus, including but not limited to training course outline or curriculum, sign-up sheets, attendance records and training schedules.

RETENTION: 30 years after termination of employment

Safety Records

***Officer Daily Logs (SAF-010)**

Time log of activities of each officer while on duty. Documents officer's activities on a daily basis for all three shifts

RETENTION: 10 years

***Inspection Records - NYS Fire Inspections (SAF-014)**

System inspections, tests and maintenance required by NYS Fire Code

RETENTION: 10 years

CITATION: Fire Code of NYS, Ch. 9, 901.6.2

Student Records

***Certification Records (STU-001)**

Records maintained on students for whom the University certifies parts of their educational requirements which may be required for future licensing or certification, including but not limited to field work, student teaching or clinical experience.

NOTE: Retain original certification records in student's official folder in the Office of the Registrar

RETENTION: 50 years after graduation or date of last attendance

***Educational Placement Student Files (STU-052)**

Files containing letters of reference and related documents; maintained as service to alumni as they change jobs throughout their careers. Note this is specifically intended for Education alumni.

RETENTION: 30 years

***Evaluations of Students (STU-013)**

Letter or reports evaluating student presentations, doctoral evaluations, or general evaluations and letter of recommendation for graduating students.

RETENTION: 7 years after date of last attendance

Examinations - Proficiency/Placement (STU-019)

Student responses to proficiency and placement examinations.

RETENTION: 1 year after close of academic year

CITATION: AACRAO's Retention of Records (2010) pg 19

Examinations and Term Papers (STU-011)

Examinations, tests, quizzes, and term papers completed or written by students.

RETENTION: 1 year after close of academic year

CITATION: AACRAO's Retention of Records (2010) pg 19

Grade Reports - Department (STU-016)

Form maintained by departments and used to report grades to Office of the Registrar.

RETENTION: Current fiscal year plus 1 year

Grade Reports - Registrar (STU-015)

Official student grades maintained either in database, microfilm, or paper.

RETENTION: Permanent

Student Records

***Judicial Records - Student Organizations (STU-005)**

Records documenting incident within University-supported organization (including Greek system), including but not limited to complaint forms, security reports, police reports, correspondence, final disposition of case.

RETENTION: Permanent

***Judicial Records - Students - Suspended, Expelled and Prohibited from Future Enrollment, or Otherwise Withdrawn for Disciplinary or Medical Reasons (STU-006)**

Records and reports relating to disciplinary action taken by the University against student, including but not limited to confidential student information sheets, correspondence, complaint forms, security reports, police reports, and final disposition of case.

RETENTION: Permanent

***Judicial Records - Other than Above (STU-007)**

Records and reports relating to disciplinary action taken by the University against student, including but not limited to confidential student information sheets, correspondence, complaint forms, security reports, police reports, and final disposition of case.

RETENTION: 1 year after graduation or 7 years after last incident, whichever is later

***Registration Records - College of Professional Studies (STU-056)**

College of Professional Studies student course registration documents.

RETENTION: 10 years

***Student Awards (STU-049)**

Financial Awards given to students, including but not limited to stipend awards and fellowships.

RETENTION: 7 years

***Student Records - ELI (STU-053)**

Folders maintained on students in the English Language Institute, including applications, I-20's and progress reports, and SEVIS (Student Exchange Visitor Information System) records.

RETENTION: Permanent

Student Records, Graduate and Undergraduate - Admitted but not Enrolled (STU-032)

Records maintained on graduate and undergraduate students who have applied to the university but did not attend.

RETENTION: 1 year

Student Records

Student Records, Graduate and Undergraduate - Department Copy (STU-031)

Records maintained by College or departments on graduate and undergraduate students who have attended the university.

RETENTION: 7 years after date of last attendance

Student Records, Graduate and Undergraduate - Registrar Copy (STU-030)

Official student record of graduate and undergraduate students who have attended the university.

RETENTION: Permanent

***Student Records, Graduate - Maxwell School (STU-048)**

Records maintained by Maxwell on graduate students who have applied to and/or attended the Public Administration and International Affairs programs at the University.

RETENTION: 10 years after date of last attendance

***Student Records - Students with Disabilities (STU-050)**

Folders maintained on students, including, but not limited to letters of accommodation, qualification letter, documents of unusual services required, pre-enrollment advancement letters, and other documentation of services needed by the student.

RETENTION: 10 years after date of last attendance

Student Records - College of Professional Studies - Inactive (STU-033)

Records maintained on graduate and undergraduate students who have applied to and/or attended the university through the College of Professional Studies.

RETENTION: 20 years after date of last attendance