POLICY STATEMENT

Subject: **RETENTION OF UNIVERSITY RECORDS**

Date: May 17, 2010 Distribution Code: A Reference Number:

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Addition _X__ Originating Office: Open Records President's Approval
Deletion ____
New Item ____

PURPOSE:

The university is committed to effective records retention to preserve its history, meet legal standards, optimize the use of space, minimize the cost of record retention, and ensure that outdated and useless records are destroyed.

SCOPE:

The University Policy for the Retention of Records is applicable to all departmental offices and other offices of the University and the university records (see the *"Definitions"* Section of this document) created, maintained and disposed of by those offices.

OBJECTIVE:

Indiana University of Pennsylvania requires consistent treatment of records. Maintenance, retention, and disposal procedures for university records (see the *"Definitions"* Section of this document) must be followed systematically by staff in designated official repositories.

In addition, duplicate or multiple copies of these records, retained in locations other than official repositories (see the *"Definitions"* Section of this document), must also be disposed of when they are outdated and no longer useful.

This policy is intended to ensure that the university:

- meets legal standards;
- optimizes the use of space;
- minimizes the cost of record retention;
- preserves the history of the university;
- destroys outdated and useless records.

POLICY:

Indiana University of Pennsylvania requires that different types of records be retained for specific periods of time, and has designated official repositories for their maintenance. These records must be managed according to procedures that are outlined in this document.

DEFINITIONS:

These definitions apply to these terms as they are used in this policy:

Active Record	A record with current administrative use for the department that generated it. Records remain active for varying numbers of years, depending on the purpose for which they were created.
Archival Record	A record that is inactive; not required to be retained in the office in which it originated or was received; and has permanent or historic value. Archival records are retained and preserved indefinitely in the University Archives.
E-Mail Record	An e-mail record with current administrative, legal or fiscal value. Records remain active for varying numbers of years, depending on the purpose for which they were created. Records remain active for varying numbers of years, depending on the purpose for which they were created.
E-Mail Non-Record	Communications that serve no administrative, legal or fiscal purpose to the University. It contains information that is personal, chit-chat, information only or will be maintained by a separate department for operational, fiscal or legal purposes. E-mail non-records are to be disposed of immediately.
E-Mail Transitory Record	A Transitory e-mail record has short term administrative, legal or fiscal value once the administrative, legal or fiscal use has expired, has little or no documentary or evidential value or is useful for a short period of time to ensure that a task is complete or prepare a final product. A transitory e-mail record should be disposed of as soon as it is no longer needed for evaluation or discussion toward a final product.

DEFINITIONS (Continued):

Official Repository	The unit designated as having responsibility for retention and timely destruction of particular types of official university records. Such responsibility is assigned to the unit's administrative manager or a designee.
Possession of a Record	A record possessed by the university or a record in the possession of a third party with who the university has contracted.
Right to Know Record	A record, including a financial record, of the university that is not exempt under section 708 of the Right to Know Law, Act 2008-3, is not exempt from being disclosed under any other Federal or State law or regulation or judicial order or decree, or is not protected by a privilege.
University Archives	This includes permanent retention of official records and reports of the university, its officers and component parts; maps and architectural records; audiovisual materials including still photographs and negatives, motion picture film, oral history interviews, audio and video tapes; and artifacts and ephemera documenting the university's history.
University Archivist	The individual responsible for 1) designating which official university records are archival; and 2) effecting the transfer of archival records from the office in which they originated or were received to the University Archives at such times and in the manner and form prescribed by the Archives and subject to the appropriate retention and disposition schedules that are outlined in this document.
University Record	The original copy of any record. Official repositories for these records are identified in Tables I and II of this document.

RESPONSIBILITIES:

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education and Summer Session, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
Academic Actions, (Dismissal, etc.)	Office of the Registrar	5 years from date of last attendance
Academic Integrity Code Violations	Center for Student Life	Minimally 7 years from the ending date of the last sanction imposed.
Academic Records	Office of the Registrar	Permanent
Advance Placement	Office of the Registrar	5 years from date of last attendance
Application for Graduation	Office of the Registrar	5 years from date of last attendance
Applications for Readmit	Office of the Registrar	5 years from date of last attendance
Audit Authorizations	Office of the Registrar	1 Year from date of document
Change of Grade Forms	Office of the Registrar	Permanent
Change of Course (Add/Drop)	Office of the Registrar	5 years from date of last attendance
Class Lists	Office of the Registrar	Permanent
Class Schedules	Office of the Registrar	1 Year from date of document
Correspondence Relevant	Office of the Registrar	5 years from date of last attendance
Credit / No Credit Pass / Fair etc	Office of the Registrar	5 years from date of last attendance
Credit by Exam Scores	Office of the Registrar	5 years from date of last attendance
Curriculum Change Forms	Office of the Registrar	5 years from date of last attendance

RESPONSIBILITIES (Continued):

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education and Summer Session, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
Degree Audit Records	Office of the Registrar	5 years from date of last attendance
Disciplinary Action Docs	Center for Student Life	5 years from date of last attendance 7 years from the ending date of the last sanction, or 3 years after the disciplinary statistic is published (whichever is less)-University reserves the right to retain records longer.
Disciplinary Expulsions and other selected records	Center for Student Life	Indefinite
Disciplinary Records, Last Sanction	Center for Student Life	7 Years from ending date
Disciplinary Statistic Published	Center for Student Life	3 Years after statistic is published
Fee Assessment Forms	Office of the Registrar	5 years from date of last attendance
FERPA	Office of the Registrar	Permanent
Financial Aid Records (applicants who do not enroll)	Financial Aid Office	3 years from award date
Financial Aid Records (applicants who enroll)	Financial Aid Office	5 years from last date of enrollment
Federal Aid (Perkins, FSEOG, ACG, SMART, Pell)	Financial Aid Office	3 Years after end of award
Financial Aid Records (applicants who enroll)	Financial Aid Office	5 years from graduation date
Federal Aid (Perkins, FSEOG, ACG, SMART, Pell)	Financial Aid Office	3 Years after end of award

RESPONSIBILITIES (Continued):

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education and Summer Session, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
FFEL Loans, Borrowers Eligibility and Participation	Financial Aid Office	3 Years after end of award
FFEL Loans All Other Documents	Office of the Bursar	3 Years after end of award
Grade Reports	Office of the Registrar	1 Year from date of document
Graduation Authorizations	Office of the Registrar	5 years from date of last attendance
Graduation Lists	Office of the Registrar	Permanent
Greek Chapter Grade Reports	Center for Student Life	Indefinite (The timeframe is negotiable, due to no apparent formal/legal standard)
Hold or Encumbrance Authorizations	Office of the Registrar	Until Lifted
International Student Forms	Office of the Registrar	5 years from date of last attendance
Medical Records – Health Center Services for Regulatory Required Medical Surveillance and Monitoring Records	Health Center	7 years from last date of enrollment.
Medical Records – Health Center Patient Records (Non-regulatory)	Health Center	7 years from last date of enrollment.
Medical Records – Outside Services for Regulatory required Medical Surveillance and Monitoring Records	Health Center	7 years from last date of enrollment.

RESPONSIBILITIES (Continued):

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education and Summer Session, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
Military Documents	Office of Veteran's Affairs	5 years from date of last attendance
Name Change Authorizations	Office of the Registrar	5 years from date of last attendance
Pass / Fail Requests	Office of the Registrar	5 years from date of last attendance
Paid Grant Reconciliations	Office of the Bursar	5 years from date of document
Perkins Payment Records	Office of the Bursar	3 Years after end of award
Perkins Original Promissory Notes (Electronic and hard copies)	Financial Aid Office	Until the loan is satisfied or the documents are needed to enforce the obligation
Perkins Personal Data Forms	Office of the Bursar	3 Years from date when loan is paid in full
PHEAA Grant Award Reconciliation Rosters	Financial Aid Office	5 Years from date of certification
Registration Forms	Office of the Registrar	1 Year from date of document
Sexual Harassment Complaints, Investigations, and Findings	Office of Workforce Diversity, Equality and Life Quality	No Cause Findings, 3 years from determination, Cause Findings Permanent
Student-Athlete Unofficial Visit Forms	Intercollegiate Athletics	1 year from date of document
Student-Athlete Official Visit Form	Intercollegiate Athletics	1 year from date of document
Student-Athlete Travel Request Form	Intercollegiate Athletics	1 year from date of document
Student-Athlete Fund Raising Request Form	Intercollegiate Athletics	1 year from date of document

RESPONSIBILITIES (Continued):

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education and Summer Session, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
Student-Athlete Certification of Amateurism	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete Certification of Compliance for Institutions Form	*Intercollegiate Athletics*	6 years from date of document
Certification of Compliance for Staff Members of Athletics Departments	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete Statement	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete Drug-Testing Consent Form	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete General Amateurism and Eligibility Form for International and Select Student-Athletes	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete HIPAA/Buckley Amendment Consent/Waiver Form	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete One Time Transfer Waivers	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete Permission to Contact (IUP student wanting to transfer)	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete Change of Roster	*Intercollegiate Athletics*	6 years from date of document
Student-Athlete NCAA/EADA Financial Reports	*Intercollegiate Athletics*	Permanent
Student-Athlete Initial Eligibility Waivers	*Intercollegiate Athletics*	Permanent

RESPONSIBILITIES (Continued):

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education and Summer Session, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
Student-Athlete Major Infractions	*Intercollegiate Athletics*	Permanent
Student-Athlete Secondary Infractions Self-Reporting	*Intercollegiate Athletics*	Permanent
Student-Athlete Reinstatement	*Intercollegiate Athletics*	Permanent
Student-Athlete NCAA Sports Sponsorship and Demographic Forms	*Intercollegiate Athletics*	Permanent
Student-Athlete Graduation Rate Report	*Intercollegiate Athletics*	Permanent
Student-Athlete Academic Success Rate Report	*Intercollegiate Athletics*	Permanent
Student-Athlete Academic Performance Census	*Intercollegiate Athletics*	Permanent
Term Reports	Appropriate Department or College	5-7 Years
Transcript Requests	Office of the Registrar	1 Year from date of document
Transfer Credit Evaluations	Office of Transfer Credit Evaluation	5 years from date of last attendance
Withdrawal Authorizations	Office of the Registrar	2 Years from date of document

RESPONSIBILITIES (Continued):

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education and Summer Session, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
Admissions for Applicants Who Do Not Enroll, Whether Accepted or Rejected		
Advanced Placement Records, Applications for Admission or Readmission, Correspondence that is relevant, Entrance Exam Reports (ACT, CEEB, et. al.), Residency Classification Forms, Letters of Recommendation, Transcripts — High School and Other College	Admissions Office	1 Year from date of start of application term
Admissions for Applicants Who Enroll		
Letters of Recommendation	Admissions Office	Until date of admission
Recruitment Materials	Admissions Office	Until date of enrollment
Residency Certificates	Admissions Office	Until date of enrollment
International Student Forms (visa documentation, etc.)	Office of International Education	5 Years
Publications, Statistical Data/Documents and Reports		
PASSHE Reports	President's Office	Permanent
Commencement Programs	Office of the Registrar	Permanent

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic Personnel		
Academic Search Records	See Affirmative Action/Equal Opportunity Section	
Annual Conflict of Interest Disclosure Statements	See Human Resources Section	
Grievances	See Human Resources Section	
Health Center Services for Regulatory		
Personnel Files, Appointment Letters and Forms	See Human Resources Section	
Trustee Decisions Regarding Academic Personnel and Designated Executives	Office of the President	Permanent
Finance and Administration		
1098T	Office of the Bursar	7 Years
1042, 1099, 990T	Financial Operations	7 Years
Account Reconciliations (Balance Sheet)	Financial Operations	3 Years
Accounts Payable Vouchers and Attachments	Financial Operations	Imaged Document-Permanent
Accounts Receivable Statements, Centrally Generated	Office of the Bursar	3 Years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Finance and Administration		
Accounting Reports (monthly reports) Schedules of Department Balances, Transaction Statements, Account Analysis Statements, Monthly and Year-to-Date Salary and Wage Statements	Financial Operations	3 Years
Annual Audit Financial Reports and Work papers	Financial Operations	Permanent
Banking Records, Including Deposit and Withdrawal Records, Bank Statements and Reconciliations	Financial Operations	3 Years
Batch Entry Transcripts	Financial Operations	2 Years
Cancelled Checks	Financial Operations	Electronic disks-3 years
Capital Equipment Records	Fixed Inventory Control	Life of Asset: records of equipment purchased on federal funds must be retained for three years after final disposition
Cash Receipts – currency	Office of the Bursar	3 Years
Cash Receipts – checks	Office of the Bursar	Imaged-Permanent
Common Cost Accounting Report (CCAR)	Budget Office	3 Years
Depreciation Records	Financial Operations	Permanent
Endowment Documentation – IUP only (Market Valuation Reports, Deeds, Wills, Testaments etc.)	Financial Operations	Permanent

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Finance and Administration		
Escheated Check Information	Financial Operations	3 Years
F&A Cost Rate Calculations (Indirect)	Budget Office	7 Years
Harrisburg Charges	Budget Office	3 Years
Inventories – consumable	Central Stores	3 Years
IPEDS Financial Reports	Financial Operations	7 Years
Journal Entries and Back-up Documentation	Financial Operations	Permanent
Procurement Card Charge Documentation (Purchasing, Travel and Office Max Ghost)	Financial Operations	3 Years
Subsidiary Ledgers (Accounts Payable, Accounts Receivable, etc.)	Office of Finance and Administration	Permanent
Summary Analysis Reports, end of year (Fund, Source, Function)	Office of Finance and Administration	6 Years
Transaction Authority Cards	Office of Finance and Administration	6 Years
Travel Reimbursements and Attachments	Financial Operations	Permanent
University Audit Work Papers	Internal Review	3 Years
Affirmative Action / Equal Opportunity		
Academic Search Plans and Statements	*See Office of Human Resources*	3 Years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Affirmative Action / Equal Opportunity		
Academic Search Waivers	*See Office of Human Resources*	For Permanent Waivers, 3 years from date of appointment; For Limited-Term Waivers, 3 years from satisfaction of subsequent search requirements or appointment termination
Affirmative Action Programs	*Office of the Associate Provost*	Permanent
Conciliation Agreements/ Orders on Consent	*Office of the Associate Provost*	Permanent
Documents Supporting Other Academic or Non-Academic Selection Decisions (e.g., promotion, termination, compensation)	*See Office of Human Resources*	Official personnel file
Federal and State Required Statistics and Reports	*Office of the Associate Provost*	Permanent
Non-Academic Search and Hiring Forms (OWDELQ copies of requisition forms, applicant flow cards, ACSS forms, search waivers, documentation of hiring decision forms)	*Office of Workforce Diversity, Equity and Life Quality*	3 years from date of appointment

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Affirmative Action / Equal Opportunity		
Non-Academic Search Materials and Documents Supporting Hiring Selection Decisions	*See Office of Human Resources*	3 years from date of appointment
Sexual Harassment Complaints, Investigations, and Findings	*Office of Workforce Diversity, Equity and Life Quality*	No Cause Findings, 3 years from determination Cause Findings, Permanent
Alumni Affairs and Development		
Alumni Records	*University Relations*	Permanent
Gift Records	*Advancement Services*	6 years for hard copy records Permanent for electronic records
Gifts of Art to the Johnson Museum	*Advancement Services*	Permanent
Original Gift Letter Agreements, All others	*Advancement Services and Development*	Permanent
Planned Gifts (trusts, life income, agreements, annuities) Real Estate Gifts	*Advancement Services and Development*	Permanent
Bursar		
Account Collection Data (non-Perkins)	*Office of the Bursar*	6 Years
Perkins Information	*Office of the Bursar*	See page 11
Student Refund Policy & Schedules	*Office of the Bursar*	6 Years
Tuition and Fee Charges	*Office of the University Bursar*	6 Years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Engineering and Construction		
As–built Drawings	*Office of Engineering and Construction*	Permanent
Contracts and Agreements	*Office of Engineering and Construction*	6 Years
University Records		
Accreditation Records	*Office of the President*	Permanent
Council of Trustees Minutes	*Office of the President*	Permanent
Official University Actions	*Office of the President*	Permanent
Environmental Health and Safety		
Evacuation Drill Records	*Environmental Health & Safety*	5 Years
Fire Protection Systems Records	*Facilities and Public Safety*	5 Years
Fume Hood Testing Records	*Maintenance*	3 Years
Hazardous Waste Disposal Manifests and Reports	*Environmental Health & Safety*	3 Years
Incident Records	*Environmental Health & Safety*	5 Years
Portable Extinguisher Training Records	*Environmental Health & Safety*	3 Years
Radiation Dose Reports	*Academic Department / Physics*	Permanent
Radiation Safety Training Records	*Academic Department / Physics*	3 Years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Environmental Health and Safety		
Radioactive Materials License and Safety Committee Records	*Academic Department / Physics*	Permanent
Radioactive Material Receiving and Inventory Records	*Academic Department / Physics*	3 Years
Asbestos Reports	*Environmental Health & Safety*	30 Years
Material Safety Data Sheets	*Environmental Health & Safety*	30 Years
Accident / Injury Reports	*Environmental Health & Safety*	7 Years Student & 10 Years Staff
State Vehicle Incidents	*Automotive Department*	5 Years
Hazardous Materials Ordered/Received	*Academic Department / Chemistry*	3 Years
Human Resources		
Annual Conflict of Interest Disclosure Statements	*Office of Human Resources*	3 Years
Criminal Background Investigation	*Office of Human Resources*	Until Permanent separation, then destroy
Employee Personnel Files (including application, resume or vita, appointment letters, tenure/promotion letters)	*Office of Human Resources*	Upon separation, sent to State Records Center, kept until former employee reaches 72 years of age, then destroyed

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
	Human Resources	
Grievances	*Office of Human Resources*	Arbitrated – permanent Settled locally- permanent No Findings – 5 Years
Individual Contracts of Employment	*Office of Human Resources*	Official personnel file - permanent
I–9 Forms (Faculty and Staff)	*Office of Human Resources*	Official personnel file - permanent
Non-Academic Search Materials	*Office of Financial Aid and Student Employment*	3 Years
Occupational Injury or Illness, Records Relating to	*Office of Human Resources*	3 Years
Performance Appraisals	*Office of Human Resources*	3 years after separation
All Search Committee Records, including employment applications, resumes, and all applicant search materials	*Office of Human Resources*	3 Years
Search Waivers	*Office of Human Resources*	3 Years
Union Agreements	*Office of Human Resources*	Permanent
Volunteer Registration Forms, Parental Consent Forms, and Agreements	*Office of Human Resources*	3 Years
Workers' Compensation Claims and Insurance Policies	*Office of Human Resources*	18 Years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Risk Management		
Certificates of Insurance, Indemnification Agreements, Hold Harmless Agreements, Contracts	*Purchasing Office*	6 years after expiration
Insurance Policies (Liability, Property, and Other Policies)	*Purchasing Office*	Permanent
Incident Reports, Accident Reports	*Purchasing Office*	4 years after report date
Information Technology		
System Event Logs	*Information Technology Office*	3 years
System Login Records	*Information Technology Office*	3 years
Web Server Transaction Logs	*Information Technology Office*	3 years
E-mail Transaction Logs	*Information Technology Office*	3 years
General Application Transaction Logs	*Information Technology Office*	3 years
Call Detail Logs	*Information Technology Office*	3 years
IT System Generated Log Data Reports	*Information Technology Office*	Permanent

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Legal		
Consent Orders	*University Legal Counsel*	Permanent
Court Orders	*University Legal Counsel*	Permanent
Judgments	*University Legal Counsel*	Permanent
Releases	*University Legal Counsel*	Permanent
Settlements	*University Legal Counsel*	Permanent
Medical		
Health Center Services for Regulatory Required Medical Surveillance and Monitoring Records	*Health Center*	7 Years
Health Center Patient Records (Non-regulatory)	*Health Center*	7 Years
Outside Services for Regulatory Required Medical Surveillance and Monitoring Records	*Health Center*	7 Years
Patent and Trademarks		
Original Patents, Trademarks, and Related Work Papers	*University Advancement*	Permanent
Licensing Agreements	*University Advancement*	6 Years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Patent and Trademarks		
Royalty Records	*University Advancement*	Life of Patent or TM plus 6 years
Invention Assignment Forms	*University Advancement*	Permanent
Payroll		
Annual Payment Records (W2, Alpha lists, employee transaction lists) 2004 & Future	PASSHE	Permanent
Annual Payment Records – 2003 & Prior	Payroll Services	Permanent
Imputed Income Records (auto usage, CCTS)	Financial Operations	Permanent
Information Returns filed with Federal and State authorities (W-2, 941, etc.)	PASSHE	Permanent
Leave Reporting Documents (paper)	Payroll Services	3 Years
New Hire Paperwork (I-9, W-4, Visa, etc.) as required for compensation purposes	Payroll Services	Permanent
Payroll Deduction Authorization Forms	Payroll Services	Until separation of service
Record of Payments and Deductions (payroll registers, deductions lists, adjustments)	PASSHE	Permanent
Wage Report Documents-Students	Appropriate Department	2 Years
Wage Report Documents-Staff	Payroll Services	2 Years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Payroll		
Supplemental Payment Documentation (Shift Differential, Overtime, APSCUF Article Payments)	Payroll Services	2 Years
Pension		
Employee Service Records (maintained for Alternative Retirement Plans only)	*Office of Human Resources*	6 years after death of eligible employee and beneficiary
Pension Plans and All Attached Amendments	*Office of Human Resources*	Permanent
Planning and Budget		
Plans and Projections	Office of Finance and Administration	5 years
Procurement		
Purchase Orders, Contracts, and Agreements such as Letters and Memorandums of Understanding	*Procurement Department*	4 years from the expiration date of the contract
Successful Bidder Request for Proposal Information	*Procurement Department*	4 years from the expiration date of the contract (kept with contract)
Unsuccessful Bidder Request for Proposal Information	*Procurement Department*	6 months

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Procurement		
Correspondence to include emails related to Bid Process up through award	*Procurement Department*	1 year after award of contract
RFQ Information	*Procurement Department*	All quotes kept for 4 years with successful PO/contract
Procurements made under sections 514 (small procurements), 515 (sole source procurement) and 516 (emergency procurements)	*Procurement Department*	Record listing of contracts for three years past the date of final payment to include the contractor's name, the amount and type of contract and a listing of the supplies/services procured.

Additional retention definitions/information:

- Documents may be stored digitally in soft copy or filed as hard copy. Reference PA ST 42 Pa. C.S.A. §6109
- Contract information must be kept 3 years after date of final payment. Retention policy therefore states 4 years but if there are held payments past one year, the procurement code takes precedent and it must be retained 3 years past date of final payment (Reference §563 and 564).
- Correspondence/emails kept as records include any official communications to the suppliers about the bid process, emails relating to award decisions and correspondence as part of the debriefing process. All other emails between members of the evaluation team or communications between procurement and the requesting department that is informational only are considered transitory are deleted.

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

Procurement

- The final evaluation matrix is kept as part of the official record with the awarded contract. Hand-written notes or conversational emails of the evaluation team are considered transitory materials and are not retained.
- Unsuccessful bidder information is retained for 6 months in the event that there are bid protest situations or performance issues with the awarded contract.
- If information is requested that is past the retention date but the proper retention policies were not followed and the document has not been deleted/discarded, it must be provided as part of the open record legislation.
- Any proposal information distributed as part of the RFP evaluation must be returned to procurement after the evaluations are complete so that multiple copies are not retained. Procurement is responsible for retaining the "official record" documents.
- As it relates to open record disclosure, any information that a supplier deems as "proprietary" or "confidential" must be reviewed by the open records officer and legal counsel to determine the validity of their definition. If information is deemed proprietary, it should be redacted and the redacted copy should be retained with the official copy of record.

Public Safety / Police

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Crime Reports	*Office of the University Police*	20 years
Property Damage Reports	*Office of the University Police*	4 years after report date
Non-Traffic Citations	*Office of the University Police*	20 years
Traffic Citations	*Office of the University Police*	7 years
Police Complaint Reports	*Office of the University Police*	10 years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Public Safety / Police		
Police Shift Reports	*Office of the University Police*	2 years
Vehicle Accident Reports	*Office of the University Police*	7 years
Towed/disabled Vehicle Lots	*Office of the University Police*	1 year
Tort Claim Reports	*Office of the University Police*	7 years
Parking Ticket Appeal Letters	*Office of the University Police*	1 year
Wheel locking forms (parking)	*Office of the University Police*	1 year
Real Property		
Documents for leases, licenses, construction contracts and other contracts of a temporary nature valued at less than $50,000	*Office of Finance and Administration*	6 years after expiration of lease or contract term
Property Deeds, Easements, Licenses, Rights of Way, Leases, Rights of First Refusal, Remainder Interests, Mortgages	*Office of Finance and Administration*	Permanent
Title Insurance Policies	*Office of Finance and Administration*	10 years after disposal of property

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Sponsored Projects Contracts, Grants		
Animal Welfare Records	*Center for Research Animal Resources*	3 years or Contract Period
Grant and Contract Applications, Proposals, and Supporting Documentation	*Office of Sponsored Programs*	3 years from last date of activity (Federal Grants and Contracts)
Grant & Contract Award Documents	*Financial Operations*	Federal - 3 years from date of last activity State – 5 years from date of last activity Private – 7 years from date of last activity Unless otherwise specified
Human Subject Records	*Office of Sponsored Programs*	3 Years or Contract Period
Recombinant DNA Research Records	*Office of Sponsored Programs*	Permanent
Tax		
Assets: Acquisition/Disposition	*See Accounting and Finance Section*	
Depreciation Schedules	*See Accounting and Finance Section*	
Fringe Benefit Returns	*See Human Resources Section*	
Information Returns (990, 1099, 8282, 90.22 etc.)	Financial Operations	7 Years

RESPONSIBILITIES (Continued):

Table 2

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Tax		
Payroll Tax Returns (W-2, Social Security, Unemployment Tax)	See Payroll Section	
Sales Tax Returns	Financial Operations	7 Years

PROCEDURES:

Responsibilities for Managing Official University Records

Departments that maintain university records are called "official repositories." These administrative units are responsible for establishing appropriate record retention management practices. Each department's administrative manager or a designee must:

- implement the unit's and/or office's record management practices;
- ensure that these management practices are consistent with this policy;
- educate staff within the administrative unit in understanding sound record management practices;
- preserve inactive records (see the *"Definitions"* Section of this document) of historic value, and transfer those records to the University Archives;
- ensure that access to confidential files is restricted. Long term restrictions on access to selected archival records should be negotiated at the time of their transfer to the University Archives;
- destroy inactive records that have no archival value upon passage of the applicable retention period.

PROCEDURES (Continued):

If you have any questions about your responsibilities, contact the University Records Manager (see the *"Contacts"* Section of this document), who will work closely with you to ensure

understanding of this policy and implementation of these responsibilities.

Preserving or Disposing of Official University Records

When the prescribed retention period (see Tables I and II, which follow) for official university records has passed, a determination of whether to preserve or dispose of the documents must be made. To decide if the record is of historic value to the university, consult the University Archivist (see the *"Definitions"* Section of this document) who has the authority to designate which records are archival.

☐ **Option A** *Archival Records*

If you have determined that the records are archival, they may be transferred to University Archives (see the "Definitions" Section of this document). Call the University Records Manager to:

1. Review records to be sent to University Archives.
2. Request archival boxes (1 full file drawer=2 boxes).
3. Request a transfer from department to Archived Records.
    - Physical Records – Enter a work order to have the documents transferred by Grounds.
    - Electronic Records – Contact the IT Department.

☐ **Option B** *Non-archival Records*

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

1. Recycle non–confidential paper records.
2. Shred or otherwise render unreadable confidential records.
3. Erase or destroy electronically stored data with the exception of records which are logged as part of the institutions record imaging systems.

☐ **Option C** *Imaged Records*
Federal guidelines indicate that imaged records remain part of the permanent record.

Caution: Periodically review records generated and maintained in university information systems or equipment (including mainframe, mini, and micro computing/storage systems) to ensure that these requirements are met.

PROCEDURES (Continued):

Records Retention: Location and Duration

Tables 1 and 2, which follow, list the official repositories for university records as well as how long these records must be retained.

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

☐ **Note:** No document list can be exhaustive. Questions regarding the retention period for any specific document or class of documents not included in these tables should be addressed with University Legal Counsel.

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

CONTACT INFORMATION:

Direct any questions about this policy to your department's administrative manager. If you have questions about specific issues, call the following offices:

Subject	Contact	Telephone
Electronic Media Storage	IT Support Center	724-357-4000
Hardcopy Media Storage	Central Stores	724-357-4074
Right to Know	Open Records Officer	724-357-4872
Permanent Storage of Inactive Records	University Archivist	724-357-3039
Policy Clarification or Exceptions	University Records Manager	724-357-4872
Records Management	University Records Manager	724-357-4872

DISTRIBUTION: Distribution

Code	Description
A	All Employees
B	All Budget Coordinators
C	All Non-instructional Employees
D	Department Chairpersons
E	All Managers
F	All Faculty
G	Senior Policy Executives (Deans & Vice Provost Admin & Tech)
H	President's Cabinet
I	Vice Presidents (President's Executive Council)