



Schenectady, NY

Retention of College Records
Union College

Introduction

Union College requires that different types of records be retained for specific periods of time, and has designated official repositories for their maintenance. This document contains detailed retention periods for the retention of these records. A College Guidebook on Records Management is attached and contains detailed procedures for the management and destruction of these records.

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

The College takes very seriously its role in preserving the history and traditions of the institution, including historically important materials created not merely in the past but as an ongoing part of the current and future operations of the College. The Union College Archives has primary responsibility for this archival function. The Archives serves as the institutional memory of the College and plays an integral role in the management of the institution's information resources in all media and formats. To fulfill the responsibilities of that role, the Archives identifies, acquires, maintains, and preserves records of enduring value that chronicle the institution and ensure its continued existence. The Archives documents the process of institutional evolution by retaining both the evidence which shapes decisions and the decisions themselves.

Archival Records

‘Permanent’ records, also called ‘archival records,’ are records which have historical, administrative, financial, legal, or research value to the College and which we intend to keep indefinitely. The College Archivist is responsible for ensuring that the College identifies these records and that they are transferred to the College Archives once they become ‘inactive.’ Examples of archival records include meeting minutes, architectural drawings, organizational charts, real estate records, endowment agreements, student theses, selected faculty papers, committee work resulting in College policies, and photographs of events and buildings. Prior to the transfer of Board of Trustees records, the Board of Trustees’ legal counsel shall approve the records

that may be considered archival. The Board of Trustees' counsel, in his/her sole discretion, may elect to maintain such records as privileged and confidential.

These records include but are not limited to:

1. Legal or constituting documents (e.g., charters, constitutions, by-laws), vital records or security copies produced by any campus vital records program, policy statements, and reports (along with their supporting documents), minutes, substantive memoranda, correspondence, and subject files of the institution's:

- Board of Trustees;
- President;
- Dean/Vice President of (including subsumed departments):
 - Academic Affairs
 - Admissions
 - Arts and Sciences
 - College Relations
 - Engineering
 - Finance
 - Student Affairs
 - Undergraduate Education
- major academic and administrative committees.

2. Reports of:

- self-studies and accreditation visits;
- annual budgets and audits;
- offices of admissions, institutional research, College Relations—public relations both on- and off-campus—and development (fundraising);
- research projects, including grant records.

3. Records of:

- departments, e.g., minutes, reports, syllabi, faculty vitae, and sample test questions;
- retired, resigned, terminated, or deceased personnel the school employed;
- the registrar, e.g., calendars and class schedules, noncurrent student transcripts, enrollment records, graduation rosters, and other reports issued on a regular basis;
- academic, honorary, service, and social organizations of students, faculty, administrators, and staff on campus.

4. All publications, newsletters, posters, or booklets about or distributed in the name of the institution or one of its sub-units, e.g., books, posters, magazines, catalogs, special bulletins, yearbooks, student newspapers, College directories and faculty/staff rosters, alumni magazines, and ephemeral materials.
5. Special format materials documenting the operation and development of the institution, such as:
 - audio, audiovisual and multi-media productions—still photographs, slides, and negatives, motion picture films, digital images or text, and audio and audiovisual cassettes;
 - oral history interviews with their transcriptions;
 - maps, blueprints, and plot plans of the campus and its buildings.
6. Digital and other electronic records or lists of where such items are maintained and finding aids for accessing them.
7. Artifacts related to the institution if space permits
8. Records and papers produced by school-related organizations, groups, and individuals while actively connected with the school, such as private papers of faculty members produced while working with or for the school; as well as manuscript collections related to the school—unless the archives is in a division with a manuscripts department. Some archives have greatly increased the documentation of their institutions by having all records and papers produced by school personnel in the course of their profession during their employment at the school, excepting personal correspondence, lecture and research notes, and products declared official school records.
9. Records of prominent alumni/ae
10. Student theses as specified

Procedures

Departments and units that maintain College records are called “official repositories.” These administrative units are responsible for establishing appropriate record retention management practices in accordance with the retention periods and the Guidebook. Each unit’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 of historic value, and transfer those records to the College 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 College Archives;
- Destroy inactive records that have no archival value upon passage of the applicable retention period.

Disposition of Records

When the prescribed retention period for official College records has passed, a determination of whether records are of historic value to the institution (as described above), shall be made in consultation with the College Archivist, who has the final authority to designate which records are archival subject to conditions involving Board of Trustees documents. If a document, or group of documents, has been identified of archival value, make arrangements with the College Archivist for transfer and storage.

All non-archival records, in whatever format, that are not scheduled for retention must be destroyed or otherwise rendered unreadable (either by shredding or erasure).

Electronic Records Retention Policy

Purpose

In today's college environment, employees create and maintain an increasing portion of their records using computers. Electronic records must be managed alongside traditional records to ensure compliance with state and federal regulations and to preserve institutional history.

The purpose of this policy is to inform College employees and departmental management of the requirements and responsibilities for management and disposition of electronic records.

Scope

The electronic records retention policy set forth herein applies to all employees of the College and applies to all electronic records that are made or received in the transaction of College business.

Definitions

1. The term "electronic record" means any record that is created, received, maintained, or stored on College local workstations or central servers. Examples include, but are not limited to:
 - electronic mail (e-mail)
 - word processing documents and spreadsheets
 - databases
2. The term "legal custodian" shall mean the originator of an e-mail message or the creator of an electronic document if that person is a College employee; otherwise it is the College employee to whom the message is addressed or to whom the electronic document is sent. If the record is transferred, by agreement or policy, to another person for archival purposes, then that person becomes the legal custodian.

3. “Official” records retention and disposition schedules are the general and departmental program schedules that have been approved by the College.

Policy Statement

1. General Requirements. Maintenance and disposal of electronic records, as determined by the content, is the responsibility of the legal custodian and must be in accordance with the Guidebook on Records Management and also in compliance with College approved records retention and disposition schedules. Failure to properly maintain electronic records may expose the College and individuals to legal risks.

2. Electronic Mail.

a. Work-related e-mail is a College record, and must be treated as such. Each e-mail user must take responsibility for sorting out personal messages from work-related messages and retaining College records as directed in official records retention and disposition schedules. E-mail that does not meet the definition of a College record, e.g., personal e-mail, or junk e-mail, should be deleted immediately from the system.

b. The Union College e-mail servers are NOT intended for long-term record retention. E-mail messages and any associated attachment(s) with retention periods greater than three (3) years are to be printed and filed in similar fashion to paper records. It is important to note that the e-mail message should be kept with the attachment(s). The printed copy of the e-mail must contain the following header information:

- who sent the message
- who the message was sent to
- date and time the message was sent
- subject

c. When e-mail is used as a transport mechanism for other record types, it is possible, based on the content, for the retention and disposition periods of the e-mail and the transported record(s) to differ. In this case, the longest retention period shall apply.

3. Instant Messaging. The College does not support the use of Instant Messaging (IM) for College business.

4. ITS Backup Files. Information Technology Services performs backups on a regular schedule of the e-mail and electronic files stored on central servers for disaster recovery (*See Computer Systems Backup Policy*). These backups are to be used for system restoration purposes only. The IT system administrator is not the legal custodian of messages or records which may be included in such backups.

5. Litigation Holds. When litigation against the College or its employees is filed or threatened, the law imposes a duty upon the College to preserve all documents and records that pertain to the issues. As soon as the College’s Risk Manager is made aware of pending or threatened litigation, a litigation hold directive will be issued to the legal custodians. The litigation hold directive overrides any records retention schedule that may have otherwise called for the transfer, disposal, or destruction of the relevant documents, until the hold has been cleared by the College Risk Manager. E-mail and computer accounts of separated employees that have been placed on a litigation hold by the College’s Risk Manager will be maintained by Information Technology

Services until the hold is released. No employee who has been notified by the College’s Risk Manager of a litigation hold may alter or delete an electronic record that falls within the scope of that hold. Violation of the hold may subject the individual to disciplinary action, up to and including dismissal, as well as personal liability for civil and/or criminal sanctions by the courts or law enforcement agencies.

Enforcement

Failure to comply with the *Electronic Records Retention Policy* and associated guidelines and procedures can result in disciplinary action and penalties applicable by law.

Review

The Electronic Records Retention Policy will be reviewed periodically by College Counsel and the Senior Staff.

Retention of College Records: Procedures, Retention, and Disposition

Table 1: Repositories and retention periods for student and student-related, academic records

Default disposition: Shred and recycle

TYPE OF RECORD	REPOSITORY	RETENTION & DISPOSITION
Academic, Student		
Academic Actions (Dismissal, etc.)	<i>Registrar's Office or Dean of Students</i>	5 years from graduation date or date of last attendance
Academic Integrity Code Violations	<i>Dean of Undergraduate Studies</i>	5 Years
Academic Records (including narrative evaluations, competency Assessments, etc.)	<i>Registrar's Office</i>	Permanent
Change of Course Forms	<i>Registrar's Office</i>	5 years from date of enrollment
Change of Grade Forms	<i>Registrar's Office</i>	Permanent
Change to Student ID Number	<i>Dean of Students Office</i>	Permanent
Class Lists (original)	<i>Registrar's Office</i>	Permanent
Consent to Release Personally Identifiable Information – Non-Academic (Request for Non-Disclosure)	<i>Dean of Students Office</i>	Kept until next academic year; signatures kept 5 years
Course Offerings	<i>Registrar's Office</i>	Permanent
Curriculum Change Authorizations	<i>Registrar's Office</i>	5 years from graduation or date of last attendance
Disciplinary Records	<i>Dean of Students Office</i>	Generally, 5 years from the date of final obligation
Enrollment Verifications	<i>Registrar's Office</i>	1 year from enrollment date
Financial Aid Records (applicants who do not enroll)	<i>Office of Financial Aid and Admissions</i>	6 months-Perkins & institutional loans
Financial Aid Records (applicants who enroll)	<i>Office of Financial Aid and Admissions</i>	3 years -Perkins & institutional loans from graduation date
Grade Sheets	<i>Registrar's Office</i>	Permanent
Graduation Lists	<i>Registrar's Office</i>	Permanent
Hold or Encumbrance Authorizations	<i>Appropriate College Dept.</i>	Until Released
Name Changes	<i>Registrar's Office</i>	Permanent
Original Grade Sheets	<i>Registrar's Office</i>	Permanent
Student Class Schedules (in database)	<i>Registrar's Office</i>	1 year from graduation date or date of last attendance

TYPE OF RECORD	REPOSITORY	RETENTION & DISPOSITION
Student Registration Forms (all ug full-time/part-time)	<i>Registrar's Office</i>	1 year from registration
Term Reports	<i>Appropriate Department or College</i>	5-7 Years
Transcripts	<i>Registrar's Office</i>	Permanent
Transcript Requests	<i>Registrar's Office</i>	1 year from submission date
Transfer Credit Evaluations	<i>Registrar's Office</i>	5 years from graduation
Veteran Administration Certifications	<i>Registrar's Office</i>	5 years from graduation of date of last attendance
Withdrawal Authorizations/Leaves of Absence	<i>Registrar's Office(courses)/Dean of Students</i>	2 Years
Promissory Notes, Entrance and Exit Interviews	<i>Student Loan Office</i>	3 years after the loan has been repaid in full
Tuition and fees charges	<i>Student Account Office</i>	6 years. Posting files are kept for 1 year.
Student Account records related to accounts written off or in collection..	<i>Student Account Office</i>	6 years after the account has been paid in full or written off
Information returns – 1098T's, 1042S annual returns	<i>Financial Services Office</i>	6 Years
Applicants		
Advanced Placement Records (ACT, CEEB, et. al.)	<i>Registrar's Office</i>	5 years from graduation date or date of last attendance
Letters of Recommendation	<i>Admissions Office/Dean of Students Office</i>	Until date of admission; then sent to Dean of Students Office
Application Materials for non-enrolled	<i>Admissions Office</i>	2 years
Residency Certificates	<i>Dean of Students Office</i>	2 years
Residency Change Documents (Non-resident to Resident)	<i>Dean of Students Office</i>	5 years from graduation or date of last attendance
Student Waivers for Right of Access	<i>Dean of Students Office</i>	Until graduation or date of last attendance
Applications For Enrolled Students	<i>Dean of Students Office</i>	2 years from date of start of application term
Admissions Evaluative Comments & Personal Notes on Enrolled Applicants	<i>Admissions Office</i>	2 years from date of start of application term
Transcripts – High School and Other College	<i>Registrar's Office (College)or Dean of Students(High School)</i>	5 years from graduation or date of last attendance
International Student Forms (visa documentation, etc.)	<i>Dean of Students Office</i>	5 Years
Faculty Department Records		
Student evaluations	<i>Individual Departments</i>	
Enrollment statistics for courses	<i>Registrar's Office</i>	
Course syllabi	<i>Registrar's Office</i>	
Publications, Statistics, Reports		
Degree, Grade, Enrollment, and Racial/Ethnic Statistics	<i>Registrar's Office/Institutional Studies</i>	Permanent
Schedule of Classes (institutional)	<i>Registrar's Office</i>	Permanent
Catalogs	<i>Registrar's Office</i>	Permanent
Commencement Programs	<i>Registrar's Office</i>	Permanent
Certificates of Insurance, Indemnification Agreements, Hold Harmless Agreements, Contracts	<i>Office of Risk Management and Insurance</i>	6 years after expiration
Student Affairs		
Student Files (including high school transcripts, College application, discipline records, Disabilities requests and records)	<i>Dean of Students Office</i>	7 years
International Files (copy of I-20, financial Verification, passport, visas)	<i>Dean of Students Office</i>	10 years

TYPE OF RECORD	REPOSITORY	RETENTION & DISPOSITION
Becker Career Center		
Alumni Database - Used by students for Networking purposes. Records contain personal contact and employer information of all Union College alumni.	<i>Maintained through Alumni Relations (Can be accessed from computers in the Becker Career Center)</i>	Indefinite
Credential Files - Student files include letters of recommendation, ID numbers, transcripts and other identifying information. This service was discontinued in 2003	<i>Locked Drawer, Becker Career Center</i>	7 years
Student/Alumni Records - appointments scheduled with students contact information (ID#, phone, major, class year).	<i>E-Mail/office calendar (Microsoft Outlook)</i>	Indefinite
Student/Alumni Records - eRecruiting database houses appointment notes (topic covered, next course of action, etc).	<i>eRecruiting database</i>	eRecruiting database
Employer Records (Digital) - Contains contact information for specific persons within companies and organizations. A few records contain credit card information.	<i>Microsoft Outlook, Word, Excel</i>	Indefinite
Employer Records (Digital) - Contains contact information for specific persons within companies and organizations.	<i>eRecruiting database</i>	Indefinite
Employer Records (Hard-Copy) - Contains contact information for specific persons within companies and organizations.	<i>File Drawers, Becker Career Center</i>	3-6 months
Mentor Network - References the contact and employer information who sign up to participate in the mentoring program.	<i>E-Mail (Microsoft Outlook), eRecruiting</i>	Indefinite
Counseling Center		
Student Files (including session notes and intakes, all communication between student and center via telephone or email, external communications from other therapists or hospital and medication referrals.)	<i>Counseling Center File Room in locked file Cabinet</i>	7 years
Health Services		
Health Forms including past medical history, Immunizations, medical releases and an entering physical from primary physician	<i>Health Services- stored in the basement in file cabinets- locked room (original document forms)</i>	7 years
Residential Life		
Housing Contracts	<i>Office of Residence Life</i>	3 years
Room Condition Reports	<i>Office of Residence Life</i>	3 years
Damage Billing Information	<i>Office of Residence Life</i>	3 years
Student Activities		
Club and Organization financial paperwork	<i>SA office and the 3rd Floor cage</i>	3 years
Club and Organization Constitutions	<i>SA office</i>	Until club is disbanded
Waivers	<i>SA Office</i>	3 years
Computer Files	<i>On computer</i>	Forever

Table 2: Repositories and retention periods for non-student-related records

TYPE OF RECORD	REPOSITORY	RETENTION & DISPOSITION
College Relations		
Alumni Files: pre-1930	<i>College Archives</i>	Permanent
Alumni files: post-1930	<i>Alumni Office</i>	Permanent
Gift Records: Records Office	<i>Records Office</i>	6 years print
Gift Records: Development	<i>Development</i>	Permanent electronic
Gifts of Art (documentation)	<i>Development</i>	Permanent
Gift Letters	<i>Records Office</i>	Permanent
Planned Gifts (documentation)	<i>Gift Planning Office</i>	7 years after death or until commitment completed
College Magazine	<i>Communications; Archives</i>	Permanent
Department Publications	<i>Communications; Archives</i>	Permanent
Print Orders	<i>Communications</i>	7 years
Human Resources		
Employee Personnel Files (including application, resume, payroll, appointment/salary forms)	<i>Human Resources Office</i>	6 years after termination
Federal Reporting Requirements: Welfare Benefits and other Fringe Benefit Plans (i.e., 5500-s)	<i>Human Resources Office</i>	Permanent
Individual Contracts of Employment	<i>Human Resources Office</i>	6 years after termination
I-9 Forms (Faculty, Staff and students)	<i>Human Resources Office</i>	3 Years, or 1 Year after termination (whichever is greater)
Occupational Injury or Illness, Records Relating to	<i>Human Resources Office</i>	5 Years
Performance Appraisals	<i>Human Resources Office</i>	6 years after separation
Search Committee Records, including employment applications, resumes, and all applicant search materials	<i>Human Resources Office</i>	6 Years
Volunteer Registration Forms, Parental Consent Forms, and Agreements	<i>Appropriate Department</i>	3 Years
Workers' Compensation Claims and Insurance Policies	<i>Human Resources Office</i>	18 Years
Disability Claims and Insurance Policies	<i>Human Resources Office</i>	18 Years
Academic, Personnel		
Academic Search Records	<i>See Affirmative Action/Equal Opportunity Section</i>	
Grievances	<i>Office of the Dean of Faculty</i>	No Cause Findings, 3 Years from Determination Cause Findings, Permanent
Personnel Files, Appointment Letters and Forms	<i>See Human Resources Section</i>	
Promotion Dossiers	<i>Office of the Dean of Faculty</i>	3 Years
Tenure Dossiers	<i>Office of the Dean of Faculty</i>	7 Years
Trustee Decisions Regarding Academic Personnel and Designated Executives	<i>Office of the Dean of Faculty</i>	Permanent
Accounting and Finance		
Certificates of Insurance, Indemnification Agreements, Hold Harmless Agreements, Contracts	<i>Office of Risk Management and Insurance</i>	6 years after expiration
Insurance Policies (Liability, Property, and Other Policies)	<i>Office of Risk Management and Insurance</i>	Permanent
Incident Reports, Accident Reports	<i>Office of Risk Management and Insurance</i>	4 years after report date
Accounts Payable documentation including invoices, receipts, etc.	<i>Financial Services Office</i>	6 years

TYPE OF RECORD	REPOSITORY	RETENTION & DISPOSITION
Accounts Receivable Billing Records and backup documentation including Health insurance billing, employee advances, employee loans and external vendors and grant payments.	<i>Financial Services Office</i>	6 years
Student Receivable Billing Records	<i>Electronic storage</i>	10 years
Documentation related to Student billing.	<i>Financial Services Office</i>	6 years
Accounts Receivable Billing Records and backup documentation generated by departments; ie. Central Scheduling	<i>Appropriate department</i>	6 Years
Annual Financial Reports	<i>Financial Reporting</i>	Permanent
Audit Work papers	<i>Appropriate department</i>	6 years
Bank Records including statements, reconciliations, deposits, withdrawals and voided checks	<i>Financial Services Office and Financial Reporting</i>	6 Years
Cancelled checks and checks deposited to the lockbox	<i>Bank electronic storage</i>	7 years
Cash Receipts and documentation	<i>Financial Services Office</i>	6 years
Depreciation records are kept in Excel spreadsheets	<i>Financial Reporting</i>	6 years
W-9 Information returns regarding vendor tax status	<i>Purchasing Office/Electronic storage</i>	6 years after final payment
Inventories	<i>Appropriate department</i>	6 years
Accounts Payable and Accounts receivable sub-ledgers	<i>Financial Services Office</i>	6 years
Journal entries and backup documentation.	<i>Financial Services Office</i>	6 years. Posting files are kept for 1 year
New account records and back up documentation <i>(Endowment and Plant Accounts are held by Financial reporting)</i>	<i>Financial Services Office or Financial Reporting</i>	6 Years after Account closing
P Card and Travel and Expenses Charge documentation	<i>Financial Services Office</i>	6 Years
Purchase orders	<i>Financial Services Office</i>	6 years
Contracts and leases	<i>Financial Services Office and Financial Reporting</i>	6 Years after termination
Tax Returns including 55500, 990, 990T and Ct-13's	<i>Financial Services Office</i>	6 years
Tax Returns including Sales Tax, 1096, 1098T, 1098E, and 1099	<i>Financial Services Office</i>	6 years
Documentation related to Property – Mortgages, Deeds, Right of First Refusal, Home Equity Loans and Second Mortgages	<i>Financial Services Office</i>	6 years after repayment or sale
Grant Contracts, sub-contracts and documentation related to the award	<i>Financial Services Office and Financial Reporting</i>	6 years following completion of the grant
Indirect Cost Calculations	<i>Financial Services Office</i>	9 Years
Federal Equipment Asset Listing including disposition of the asset	<i>Financial Services Office</i>	6 years following completion of the grant
Federal and state-required statistics and reports	<i>Institutional Studies</i>	Permanent
Affirmative Action/Equal Opportunity		
Academic Search Plans and Statements	<i>For Forms-Office of the Dean of Faculty; For Search Materials and Documents, Supporting Decision-Appropriate Department</i>	3 Years
Academic and Administrative search documentation	<i>Appropriate Department</i>	3 years from date of appointment
AA search and hiring forms	<i>Office of Affirmative Action</i>	3 years from date of appointment

TYPE OF RECORD	REPOSITORY	RETENTION & DISPOSITION
Documents supporting other selection decision	<i>Appropriate Department</i>	3 years from effective date
Documents supporting hiring selection	<i>Appropriate Department</i>	3 years from appointment
Academic Search Waivers	<i>Appropriate Department</i>	For Permanent Waivers-3 years from date of appointment; For Limited Term Waivers-3 years from satisfaction of subsequent search requirements or appointment termination
Documents Supporting Other Academic or Non-Academic Selection Decisions (e.g., promotion, termination, compensation)	<i>Appropriate Department</i>	3 years from effective date of decision
Non-Academic Search and Hiring Forms (OWDELQ copies of requisition forms, applicant flow cards, ACSS forms, search waivers, documentation of hiring decision forms)	<i>Office of Affirmative Action</i>	3 years from date of appointment
Non-Academic Search Materials and Documents Supporting Hiring Selection Decisions	<i>Appropriate Department</i>	3 years from date of appointment
Sexual Harassment Complaints, Investigations, and Findings	<i>Office of Affirmative Action</i>	No Cause Findings, 3 years from determination Cause Findings, Permanent
Academic and Administrative search plans and statements	<i>Office of Affirmative Action</i>	3 years
Construction		
As-built drawings	<i>Facilities Services</i>	Permanent
Contracts and agreements	<i>Facilities Services</i>	6 years.
Corporate Records		
Accreditation records	<i>Office of the President/Archives</i>	Permanent
Board of Trustees Minutes and Records	<i>Office of the President/Archives</i>	Permanent
Bylaws	<i>Office of the President/Archives</i>	Permanent
Charter	<i>Office of the President/Archives</i>	Permanent
Environmental Health and Safety		
Evacuation drill records	<i>712 Roger Hull Place-Environmental, Health and Safety Compliance Office</i>	10 years
Fire protection system records	<i>712 Roger Hull Place-Environmental, Health and Safety Compliance Office</i>	10 years
Hazardous waste disposal manifests and reports	<i>712 Roger Hull Place-Environmental, Health and Safety Compliance Office</i>	3 years
Incident reports (environmental)	<i>712 Roger Hull Place-Environmental, Health and Safety Compliance Office</i>	
Portable extinguisher training records	<i>712 Roger Hull Place-Environmental, Health and Safety Compliance Office</i>	10 years
Radiation dose reports	<i>Office of J. R. Sowa, Environmental, Health and Safety Compliance Officer</i>	Permanent
Radiation safety training records	<i>Office of J. R. Sowa, Environmental, Health and Safety Compliance Officer</i>	3 years
Radioactive materials license and safety committee reports	<i>Office of J. R. Sowa, Environmental, Health and Safety Compliance Officer</i>	Permanent
Radioactive material receiving and inventory records	<i>Office of J. R. Sowa, Environmental, Health and Safety Compliance Officer</i>	3 years
Campus Safety		
Incident Reports	<i>Richmond Basement</i>	7 years
Crime reports	<i>Richmond Basement</i>	7 years
Property damage reports	<i>Richmond Basement</i>	7 years

TYPE OF RECORD	REPOSITORY	RETENTION & DISPOSITION
Dining Services		
Cash Deposits for DHR, West, UCDH, Rathskellar, Chets, Hockey, Hale - All Reports Pertaining to those Deposits	<i>Dining Services</i>	7 years/West
Catering Events –DHR, West, UCDH, Rathskellar, Chets, Hockey, Hale – All Reports Pertaining to these events	<i>Dining Services</i>	7 years/West
Meal Plan Contracts, Declining Balance, Faculty Charges, Receipts and Reports Pertaining to the above	<i>Dining Services</i>	7 years/West
All Sodexho Reports, Transmittals, Invoices	<i>Dining Services</i>	7 Years/West
End of the Year Reports – Declining, Balance Reports, Faculty/Staff Balance Reports	<i>Dining Services</i>	7 Years/West
PAFS, Employee files, Time Cards, Applications, Payroll sheets	<i>Dining Services</i>	7 years/West
Insurance		
Certificates of Insurance, Indemnification Agreements, Hold Harmless Agreements, Contracts	<i>Office of Risk Management and Insurance</i>	6 years after expiration
Insurance Policies (Liability, Property, and Other Policies)	<i>Office of Risk Management and Insurance</i>	Permanent
Incident Reports, Accident Reports	<i>Office of Risk Management and Insurance</i>	4 years after report date
Legal		
Consent orders	<i>Office of Risk Management and Insurance</i>	Permanent
Court orders	<i>Office of Risk Management and Insurance</i>	Permanent
Judgments	<i>Office of Risk Management and Insurance</i>	Permanent
Releases	<i>Office of Risk Management and Insurance</i>	Permanent
Settlements	<i>Office of Risk Management and Insurance</i>	Permanent
Patents and Trademarks		
Original executed invention disclosure forms	<i>VP for Academic Affairs (or designee)</i>	Permanent
Original executed USPTO assignment forms	<i>VP for Academic Affairs (or designee)</i>	Permanent
Original letters, patents	<i>VP for Academic Affairs (or designee)</i>	Permanent
US patent application correspondence	<i>VP for Academic Affairs (or designee)</i>	Permanent
US patent application filing papers	<i>VP for Academic Affairs (or designee)</i>	Permanent
Foreign patent application-related papers	<i>VP for Academic Affairs (or designee)</i>	Permanent
Original register trademarks	<i>VP for Academic Affairs (or designee)</i>	Permanent
Trademark-related papers	<i>VP for Academic Affairs (or designee)</i>	Permanent
Original executed licensing agreements	<i>VP for Academic Affairs (or designee)</i>	6 years
Royalty records	<i>VP for Academic Affairs (or designee)</i>	Life of patent or trademark plus 6 years
Payroll		
Employee Payroll Files (including Personnel Action forms, appointment/salary letters, W-4's , direct deposit forms, payroll deduction authorizations)	<i>Payroll Office</i>	6 months after termination, then sent to Human Resources
W2 Annual Wages Statements	<i>Payroll Office</i>	Permanent

TYPE OF RECORD	REPOSITORY	RETENTION & DISPOSITION
Employee Prelist reports- transaction listing by employee of hours, rates, deduction and contributions and summarized by pay date.	<i>Payroll Office</i>	Permanent
Information returns – W2's, 941's, NYS quarterly and annual returns	<i>Payroll Office</i>	6 Years
Wage assignment orders	<i>Payroll Office</i>	6 Years after closed
Time cards – staff and student	<i>Payroll Office</i>	6 Years
Leave reporting documents	<i>Payroll Office</i>	6 Years
Transaction listings including deduction, earnings and posting registers	<i>Payroll Office</i>	6 Years
Pension and Retirement		
Employee Eligibility for Pension	<i>Human Resources Office</i>	6 years after death of employee and beneficiary
Employee Personal Information (name, address, SSN, period of employment) and Service Records	<i>Human Resources Office</i>	6 years after death of employee and beneficiary
Pension Plans and All Attached Amendments	<i>Human Resources Office</i>	Permanent
Pension Plan Administrator Records	<i>Human Resources Office</i>	Permanent
Pension Payment Records for Employees or their Beneficiaries	<i>Human Resources Office</i>	6 years after death of employee and beneficiary
Planning and Budget		
Budget Planning and Strategic Plan Documents	<i>Office of Risk Management and Insurance</i>	Permanent
Forecasts	<i>Finance Office</i>	6 years.
Purchasing		
Purchase orders, contracts, agreements	<i>Purchasing Office</i>	6 years
Real Property		
Leases, licenses, construction contracts	<i>Office of Risk Management and Insurance</i>	6 years
Property deeds, easements, licenses, right of way, leases, rights of first refusal, remainder interests, mortgages	<i>Office of Risk Management and Insurance</i>	Permanent
Property tax returns	<i>Director of Financial Reporting & Analysis</i>	6 years
Title insurance policies	<i>Director of Financial Reporting & Analysis</i>	Permanent
Sponsored Projects, Contracts, Grants		
Grant and contract applications, proposals, supporting documents	<i>Director of Government Grants Program</i>	NYS grants-6 years after close of grant Federal grants-3 years after close of grant
Human subject records	<i>Director of Government Grants Program</i>	3 years or contract period
Tax		
Depreciation schedules	<i>Director of Financial Reporting & Analysis</i>	6 years
Excise tax returns	<i>Director of Financial Reporting & Analysis</i>	6 years
Information returns (e.g., 990, 1099)	<i>Director of Financial Reporting & Analysis</i>	Permanent
Payroll tax returns	<i>Sr. Director of Financial Services</i>	6 years
Pension tax returns	<i>Director of Human Resources</i>	Permanent
Property tax returns	<i>Director of Financial Reporting & Analysis</i>	Permanent
Sales tax returns	<i>Director of Financial Reporting & Analysis</i>	6 years