

POLICY STATEMENT Records Retention Policy

SU Policy Number: 401-003.1

ORIGINATING OFFICE

Vice President, Administration and Finance

PURPOSE

Shippensburg University 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.

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its history, meet legal standards, optimize the use of space, minimize the cost of records retention, and ensure that outdated and useless records are destroyed.

University records are those produced or received by any agency, affiliated organization, or employee of the University in the official transaction of university business. Records include information recorded in the conduct of the University's mission and bearing directly upon the activities and functions of the University or its officers and employees, regardless of medium or characteristics. The University's records include, but are not limited to, traditional paper documents such as printed forms, reports, correspondence, directives, and publications; drawings; engineering diagrams; photographs; films; photographic images of paper records stored as micro-print; and any information produced by computers or other electronic media and stored as discs, tapes, or other machine readable media and data.

SCOPE

This policy applies to all university faculty, staff, and administrators including department heads, directors, deans, administrative staff responsible for the maintenance of university records, and anyone accessing university records.

OBJECTIVE

Shippensburg University 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than official repositories (see the "Definitions" Section of this document), must also be disposed of when they are outdated and no longer useful.

DEFINITIONS

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

Active Record: A record with current administrative use for the unit 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. Archival records include:

- Departmental and committee minutes, including the Council of Trustees minutes
- Correspondence and memos
- Charters, constitutions, by-laws, organizational charts
- Policy statements
- Subject files
- Accreditation reports, self-studies, including 5-year reviews
- Reports of official university actions
- Material from major academic and administrative committees specified in University governance, with the exception of the Promotion, Tenure, and Sabbatical Committees.
- Records of student organizations
- Photographs and graphic materials
- Recordings in any format of materials documenting the operation and devleopment of the institution: lectures, speeches, special events, sports events
- Biographical material of retired/deceased personnel and alumni: vitae, bibliographies, syllabi, manuscripts, biographical sketches, chronologies, genealogies, newspaper clippings, personal memoirs, obituaries.
- Memorabilia
- Records and papers produced and donated by University-related individuals, e.g., faculty, staff
 and students while actively connected with the University, and alumni; records of academic,
 honorary, service, and social organizations of students, faculty, administrators, and staff on
 campus; manuscript collections related to Shippensburg University.
- All University publications produced both on- and off-campus, including newsletters,
 newspapers, magazines, yearbooks, student handbooks, catalogs, directories, faculty/staff
 rosters, posters, brochures, flyers, booklets, ephemeral materials [see glossary], and all
 promotional materials about or distributed in the name of the institution. At least one copy of
 all publications formerly in print and currently produced solely in electronic form should be
 made available to the University Archives and Collection Librarian by the originating office. This
 is to be done in either format (or preferably both) on an ongoing basis whenever a new version
 is made available.
- Digital and other electronic records and databases or lists of where such items are maintained and finding aids for accessing them.
- Artifacts related to the institution as space permits.

Ephemeral Materials: Items, usually printed documents (e.g. advertisements, tickets, and brochures) created for a specific, limited purpose, collected by a repository as examples for use in exhibits. Individuals often collect ephermera as mementos or souvenirs because of their association with some person, event, or subject.

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.

Report: A document containing the results of an investigation or research, with a narrative, summary, or record of events, decisions, and understandings. Reports can be routine, issued at regular intervals to provide information on normal operations; or periodic, being special reports which analyze a specific problem, opportunity, idea, or physical entity.

Subject File: A collection of file folders containing documents, created by an office or individual, relating to various topics and arranged in alphabetical order by folder heading. Subject files can relate to any type of topic, such as an action, event, organization, person, place, project, or other subject.

University Archives: The collection of records deemed of historical significance, including, but not limited to, 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 Archives and Collection Librarian: The individual responsible for (1) working with managers to identify the permanently valuable records of the university; 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.

POLICY

Shippensburg University employees are responsible for preserving or disposing of official university records.

When the prescribed retention period (see Tables I and II, in Procedures) for official university records has passed, a determination of whether to preserve or dispose of the documents will be made. To decide if the record is of historic value to the university, employees will consult the University Archivist (see the "Definitions" Section of this document) who has the authority to designate which records are archival. Records will be retained or destroyed based upon the Archivist's advice in compliance with the Procedures.

RESPONSIBILITIES

All university employees are expected to comply with this policy. Department's administrative managers hold primary responsibility for records retention and destruction.

All departments and units that maintain university records are official repositories. These administrative units are responsible for establishing appropriate record retention management practices. 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 (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.

Questions about specific issues, should be referred to the following offices:

Subject Electronic Media Storage	Contact Office of Information Technologies	Telephone 717-477-1835
Micrographic Preservation	University Archive and Special Collections Librarian	717-477-1465
Permanent Storage of	University Archive and Special Collections Librarian	717-477-1465
Policy Clarification or Exceptions	University Legal Counsel and University Records Manager	717-477-1381
Records Management	University Records Manager	717-477-1381

PROCEDURES

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, consult the University Archive and Special Collections Librarian who has the authority to designate which records are archival.

Archival Records: If the records have been determined to be archival, they may be transferred to University Archives (see the Definitions Section of this document). Call the University Archive and Collections Librarian to:

- 1. Review records to be sent to University Archives.
- 2. Determine method of records transfer.

Non-archival Records: If the records have been determined to be non-archival, and 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. Note: Periodically review records generated and maintained in university information systems or equipment (including system server) to ensure that these requirements are met.

Location and Duration for Records Retention:

Tables 1 and 2, which follow, list the official repositories for university records as well as how long these records must be retained. Records 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, Accounting Office, the Office of Administration and Finance, or the Office of Sponsored Programs & Public Service.

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education (credit and non-credit), Summer Session, Winter term, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
Academic Actions, (Dismissal, etc.)	Office of the University Registrar	5 years from graduation or date of last attendance
Academic Integrity Code Violations	Dean of Students Office	5 years
Academic Records (including narrative evaluations, competency assessments, etc.)	Office of the University Registrar	Permanent
Change of Course Forms- Continuing Education, Summer Sessions, and Extramural Studies	University Registrar and Office of Extended Studies	5 years from date of enrollment
Change of Grade Forms	Office of the University Registrar	Permanent
Change to Student ID number	Office of the University Registrar	Permanent
Class Lists (original)	Office of the University Registrar	Permanent
Consent to Release Personally Identifiable Information (Requests for Non-Disclosure)	Office of the University Registrar	Kept until next academic year; signatures kept 5 years
Course Offerings	Office of the University Registrar	Permanent
Curriculum Change Authorizations	Office of the University Registrar	5 years from graduation or date of last attendance

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education (credit and non-credit), Summer Session, Winter term, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
	Academic, Student, continued	

Disciplinary Records	Dean of Students Office	Generally, 5 years from the date of final obligation
Enrollment Verifications	Office of the University Registrar	1 year from enrollment date
Financial Aid Records (applicants who do not enroll)	Office of Financial Aid and Student Employment	3 years from date of graduation
Financial Aid Records (applicants who enroll)	Office of Financial Aid and Student Employment	5 years from graduation date
Grade Sheets	Office of the University Registrar	Permanent
Graduation Lists	Office of the University Registrar	Permanent
Hold or Encumbrance Authorizations	Office of the University Registrar	Until Released
Name Changes	Office of the University Registrar	Permanent
Original Grade Sheets	Office of the University Registrar	Permanent
Student Class Schedules	Office of the University Registrar	1 year from graduation date or date of last attendance
Student Registration Forms- Continuing Education, Summer Sessions, and Extramural Studies	University Registrar and Office of Extended Studies	1 year from registration
Term Reports	Appropriate Department or College	5-7 years
Transcripts	Office of the University Registrar	Permanent
Transcript Requests	Office of the University Registrar	1 year from submission date
Transfer Credit Evaluations	Office of the College Dean	5 years from graduation
Veteran Administration Certifications	Office of the University Registrar	5 years from graduation or date of last attendance

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education (credit and non-credit), Summer Session, Winter term, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
	Academic, Student, continued	
Withdrawal Authorizations/Leaves of Absence	Office of the College Dean/Graduate School/University Registrar/ Office of Extended Studies	2 years
Records of Non-Credit Courses	Office of Extended Studies	5 years from date of enrollment
Student Accounts Payable	Accounts Payable Office	6 years
Student Travel Payments for Short- Term Travel	Office of Extended Studies	6 years

Admissions for Applicants Who Do Not Enroll, Whether Accepted or Rejected

Advanced Placement Records,	Admissions Office	2 years from date of start
Applications for Admission or		of application term
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 for Applicants Who Enroll

Advanced Placement Records, Applications for Admission or Readmission, Correspondence that is Relevant, Entrance Exam Reports (ACT, CEEB, et.al.)	Office of the University Registrar	5 years from graduation or date of last attendance
Letters of Recommendation	Office of the University Registrar	Until date of admission
Recruitment Materials	Office of the University Registrar	Until date of enrollment
Residency Certificates	Office of the University Registrar	Until date of enrollment
Residency Change Documents (Non-resident to Resident)	Office of the Vice President for Student Affairs	5 years from graduation or date of last attendance

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education (credit and non-credit), Summer Session, Winter term, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
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Admissions for Applicants Who Enroll, continued

Student Waivers for Right of Access (See Letters of Recommendation for Admission)	Office of the University Registrar	Until graduation or date of last attendance
Transcripts — High School and Other College	Office of the University Registrar	5 years from graduation or date of last attendance
International Student Forms (visa documentation, etc.)	Student Life Center	5 years

Publications, Statistical Data/Documents, and Reports

Degree, Grade, Enrollment, and Racial/Ethnic Statistics	Office of the University Registrar	Permanent
Schedule of Classes (institutional)	Office of the University Registrar	Permanent
PASSHE Reports	President's Office	Permanent
Catalogs	Office of the University Registrar and University Archive and Collections Librarian	Permanent
Commencement Programs	University Archive and Collections Librarian	Permanent

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	Office of the Provost	3 years
Grievances	Office of the Provost	No Cause Findings, 3 years from determination Cause Findings, Permanent
Personnel Files, Appointment Letters and Forms	See Human Resources Section	

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
	Academic Personnel, continued	
Tenure or Promotion Dossiers	Office of the Provost	If action approved, 3 years; If tenure denied, 3 years from end of term appointment
Trustee Decisions Regarding Academic Personnel and Designated Executives	Office of the President	Permanent

Administration and Finance

Account Reconciliations (Balance Sheet)	Appropriate Department	6 years
Accounts Payable Vouchers and Attachments	Accounts Payable Office	6 years
Accounts Receivable Statements, Centrally Generated	Bursars Office	6 years
Accounts Receivable Statements, Unit Generated	Appropriate Department	6 years
Accounting Reports (monthly reports) Schedules of Department Balances, Transaction Statements, Account Analysis Statements, Monthly and Year-to-Date Salary and Wage Statements	Appropriate Department	6 years
Annual Financial Reports and Work papers	Accounting Office	Permanent
Banking Records, Including Deposit and Withdrawal Records, Bank Statements and Reconciliation, Voided and Canceled checks	Appropriate Department	6 years
Billing Records	Appropriate Department	6 years
Capital Equipment Records	Accounting Office	Life of Asset: records of equipment purchased on federal funds must be retained for three years after final disposition
Cash Receipts	Bursars Office	6 years

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION

Administration and Finance, continued

Depreciation Records	Accounting Office	Life of Asset
Time & Effort Reports	Grant Accounting Office	6 years
Indirect Cost Rate Calculations	Accounting Office	6 years
Inventories	Appropriate Department	Life of Asset
Journal Entries and Back-up Documentation	Appropriate Department	6 years
New Account Records and Back-up	Accounting Office	6 years after account
Documentation		closing
Procurement Card Charge	Accounts Payable Office	6 years
Documentation		
Subsidiary Ledgers (Accounts	Appropriate Department	6 years
Payable, Accounts Receivable, etc.)		
Summary Analysis Reports, end of	Accounting Office	6 years
year (Fund, Source, Function)		
Trial Balances	Accounting Office	6 years
Travel Reimbursements and	Accounts Payable Office	6 years
Attachments		
University Audit Work Papers	Accounting Office	6 years

Affirmative Action/Equal Opportunity

Academic Search Plans and Statements and supporting documentation from searches handled outside of the Human Resources Department	For Forms, Office of the Associate Provost; For Search Materials and Documents Supporting Decision, Appropriate Department	3 years
Affirmative Action Programs	Social Equity Office	Permanent
Conciliation Agreements/ Orders on Consent	Office of the Associate Provost	Permanent
Federal and State Required Statistics and Reports	Office of Institutional Research and Planning	Permanent
Non-Academic Search and Hiring Forms	Human Resources Office	3 years from date of appointment
Sexual Harassment Complaints, Investigations, and Findings	Social Equity Office	No Cause Findings, 3 years from determination Cause Findings, Permanent

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION

External Affairs and University Relations

Alumni Records	Office of University Relations	Permanent
Gift Records	Office of External Affairs & University Relations	6 years for hard copy records
		Permanent for electronic records
Original Gift Letter Agreements, Signed by President and Donor	Office of University Counsel	Permanent
Original Gift Letter Agreements, All others	Office of External Affairs & University Relations	Permanent
Planned Gifts (trusts, life income, agreements, annuities) Real Estate Gifts	Office of External Affairs & University Relations	Permanent

Bursar

Student Loan Records	Office of the University Bursar	3 years after the loan has been repaid in full
Tuition and Fee Charges	Office of the University Bursar	6 years

Construction

As-built Drawings	Office of Facilities Management	Permanent
Contracts and Agreements	Purchasing & Contracting Office	3 years after final payment

University Records

Accreditation Records	Office of the Provost and University Archive and Collections Librarian	Permanent
Council of Trustees Minutes	Office of the President and University Archive and Collections Librarian	Permanent
Official University Actions	Office of the President and University Archive and Collections Librarian	Permanent

Table 2, continued

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION

Environmental Health and Safety

Evacuation Drill Records	Office of Public Safety	5 years
Fire Protection Systems Records	Office of Public Safety	5 years
Fume Hood Testing Records	Office of Public Safety	3 years
Hazardous Waste Disposal Manifests and Reports	Office of Public Safety	3 years
Incident Records	Office of Public Safety	5 years
Portable Extinguisher Training Records	Office of Public Safety	3 years
Radiation Dose Reports	Office of Public Safety	Permanent
Radiation Safety Training Records	Office of Public Safety	3 years
Radioactive Materials License and Safety Committee Records	Office of Public Safety	Permanent
Radioactive Material Receiving and Inventory Records	Office of Public Safety	3 years

Human Resources

Employee Personnel Files (including application, resume, payroll, appointment/salary forms and performance appraisal and job description)	Office of Human Resources	6 years after termination/separation
Individual Contracts of Employment	Office of Human Resources	6 years after termination
I-9 Forms (Faculty and Staff)	Office of Human Resources	3 years, or 1 year after termination (whichever is greater)
I-9 Forms (Students)	Office of Human Resources	3 years, or 1 year after termination (whichever is greater)
Occupational Injury or Illness, Records Relating to	Office of Human Resources	5 years
Volunteer Registration Forms, Parental Consent Forms, and Agreements	Appropriate Department	3 years
Workers' Compensation Claims	Office of Human Resources	18 years

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 & Contracting Office	6 years after expiration	
Insurance Policies (Liability, Property, and Other Policies)	Purchasing & Contracting Office	Permanent	
Incident Reports, Accident Reports	Purchasing & Contracting Office	4 years after report date	

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	30 years after person leaves the university
Health Center Patient Records (Non-regulatory)	Health Center	6 Years
Outside Services for Regulatory Required Medical Surveillance and Monitoring Records	Department Office	6 Years

Patent and Trademarks

Original Patents, Trademarks, and Related Work Papers	Office of University Communications & Marketing	Permanent
Licensing Agreements	Office of University Communications & Marketing	6 years
Royalty Records	Office of University Communications & Marketing	Life of Patent or TM plus 6 years
Invention Assignment Forms	Office of Administration & Finance	Permanent

Agreements

Table 2, continued

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION	
Payroll			
Imputed Income Records (auto usage, CCTS)	University Payroll Office	6 years	
Leave Reporting Documents	University Payroll Office	4 years	
Payroll Deduction Authorization Forms (W4, DBD, CFCU, Bonds)	University Payroll Office	5 years after employment ends	
Record of Payments and Deductions (payroll registers, deductions lists, adjustments)	University Payroll Office	5 years	
Time Cards, student	Appropriate Department	3 years after the date that all student loans are paid	
Time Cards, other	Appropriate Department	3 years	
	Pension		
Employee Personal Information (name, address, SSN, period of employment)	Office of Human Resources	6 years after death of eligible employee and beneficiary	
Employee Service Records	Office of Human Resources	6 years after death of eligible employee and beneficiary	
	Planning and Budget		
Plans and Projections	Office of Administration and Finance	Permanent	
	Public Safety		
Accident Reports	Office of Public Safety	4 years after report date	
Crime Reports	Office of Public Safety	4 years after report date	
Property Damage Reports	Office of Public Safety	4 years after report date	
_	Purchasing	1	
Purchasa Ordara Contracta	Purchasing & Contracting Office	3 years after final paymer	
Purchase Orders, Contracts,	Turchasing & Contracting Office	J years arter fillar paymer	

Repositories and Retention Periods for Non-Student-Related Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
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Real Property

Documents for leases, licenses, construction contracts and other contracts of a temporary nature valued at less than \$50,000	Office of Administration and Finance	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 Administration and Finance	Permanent
Title Insurance Policies	Office of Administration and Finance	10 years after disposal of property

Sponsored Projects, Contracts and Grants

Animal Welfare Records	Institutional Animal Care & Use Committee	3 years or Contract Period
Grant and Contract Applications, Proposals, and Supporting Documentation	Institute for Public Service	3 years after close of grant (for Federal Grants and Contracts)
Human Subject Records	Institute for Public Service	3 years or Contract Period

Tax

Assets: Acquisition/Disposition	See Accounting and Finance Section	
Depreciation Schedules	See Accounting and Finance Section	
Information Returns (990, 1099, 8282, 90.22 etc.)	Accounting Office	Permanent

RECISSION

APPROVALS

President's Cabinet 3/21/11

FILENAME:

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DATE:

3/21/11

DISTRIBUTION:

President's Cabinet Public