**APPENDIX A –OAKLAND UNIVERSITY**

**RECORD RETENTION PROCEDURES**

**GENERAL SCHEDULE FOR ALL DEPARTMENTS**

**Personnel Files**

**Staff**

The University Human Resources Department (UHR) maintains the official university personnel files on staff members. The records retained by UHR are the following: application, resume, position posting, offer letter and acceptance, status changes, special actions, degrees, certificates, transcripts, disciplinary documentation, communications of expectations, commendations, performance appraisals and personal data and updates, such as change in name and address, compensation and benefits. UHR recommends that individual departments maintain the following records: documentation of expectations, documentation of any actions on which the university might need to rely to take an employment action, documentation of any disciplinary action, and appraisals and evaluations. These types of records should be retained until seven (7) years post termination, subject to the Schedule below.

**Faculty**

The Academic Human Resources Department (AHR) maintains the official university personnel files on all faculty members. The records maintained by AHR are the following: original faculty contracts and addenda, promotion and tenure documentation, original transcripts, hiring documentation, curriculum vitae, letters of recommendation, correspondence, teaching schedules, sabbatical information, evaluation forms, status changes, special action forms, promotion and tenure decisions, review dossiers, disciplinary documentation, personal data and updates, such as change in name and address, compensation and specific benefit information as it relates to sick leave and FMLA tracking. Faculty files include those for part-time and terminated faculty. In addition, all OU-AAUP records (such as grievances and arbitrations) are maintained in AHR.

**Students**

The Financial Aid department maintains student payroll records. It also keeps supporting documentation for Federal *work-study* students including employee requisition forms, student work referrals and sign-in sheets. It does not maintain the supporting records for non-work study students, so individual departments are advised to keep them for 3 years post termination.

**Basic Business Records**

Many Records are duplicates of Official Repository Records or originals found in other departments. These Records are often the basic business Records of the University. Most basic business records will be kept by the ROD, such as the Payroll department subject to the Schedule. Some examples of other basic business records are purchase requisitions and orders, vendor payment authorizations, budget documentation and accounting ledgers. The following Schedule addresses the retention of basic business records. Individual departments are best able to decide how frequently they review prior years’ basic business records to determine when they can be purged. In general, it is likely that most departments can destroy old basic business records after three (3) years.

The following Records are considered general to most operating departments and are therefore not listed in specific departmental sections of this appendix.

**GENERAL**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| General | Personnel files of persons working in department (unofficial) |  | No official requirement | ROD |
| Budgetary File |  | 5 years | ROD |
| Vice Presidential Expense Allowance Records |  | 6 years | ROD |
| Contracts |  | 7 years | ROD |
| Purchase Orders |  | 7 years from termination or expiration of last service order | ROD |
| Purchase Requisitions |  | 7 years | ROD |
| Small Order Purchase forms |  | 7 years | ROD |
| Invoices–Accounts Receivable |  | 3 years | ROD |
| Receipts (duplicate copy of cash sales) |  | 3 years | ROD |
| Expired or canceled agreements and contracts |  | 7 years | ROD |
| Credit Card Receipts |  | 18 months | ROD |
| Payroll deduction |  | 7 years | ROD |
| Correspondence; Reading File |  | No official requirement | ROD |
| Invoices–advertising, classified ads, display ads |  | 3 years | ROD |
| Telephone records |  | 1 year | ROD |
| Inventory records |  | No official requirement | ROD |
| Administrative files |  | 5 years | ROD |
| Hardware agreements |  | 7 years after expiration | ROD |
| Service agreements |  | 7 years after expiration | ROD |
| Service records |  | 5 years from issue date | ROD |
| Copyrighted software |  | Per contract agreement | ROD |
| Data files and backups |  | Per application specification | ROD |
| Correspondence with publishers and books or serial vendors |  | 7 years | ROD |
| Billing Records |  | 2 years | ROD |
| Software of any type including freeware, shareware, application service provider etc. | Documentation may include the following: dated invoices, purchase orders and or receipts showing the products and quantity acquired or purchased; or dated software or hardware reseller or original equipment manufacturer reports or receipts itemizing the products and quantity acquired or purchased; or dated registration documentation provided from the copyright holder with matching serial numbers for the installation. (Note: original disks or manuals are not acceptable as proof of license compliance). | All licenses must be kept as long as software is in use; when software is removed and destroyed from a computer, the license can be destroyed. | ROD and/or  University Technology Services |
| Vendor billing records |  | 3 years | ROD |
| Completed work orders |  | 2 years | ROD |
| Repair work orders |  | 1 year | ROD |

**OAKLAND UNIVERSITY RECORD RETENTION PROCEDURES**

***PRESIDENT’S DIVISION***

1. **PRESIDENT’S OFFICE**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| President’s Office | Executive Correspondence | Correspondence, reports, memoranda and other related materials specifically pertaining to university operations | 10 years, then university archives | Office of the President |
| Committee Records |  | 10 years, then university archives | Office of the President |

1. **VICE PRESIDENT FOR GOVERNMENT RELATIONS**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| Government Relations | Capital Outlay Requests |  | Current year | Government Relations |
| Copies of appropriation acts and other legislation of interest to Oakland University |  | Permanent | Government Relations |

1. **VICE PRESIDENT FOR LEGAL AFFAIRS**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| Office of Legal Affairs | Board of Trustees | Agendum items, minutes of meetings, backup materials, and related correspondence, Board Actions | Permanent | Office of Legal Affairs |
| General Counsel | Bankruptcy records | 7 years after date of last activity | Office of Legal Affairs |
| Draft contracts, including consulting agreements, affiliation agreements, construction agreements | Including consulting agreements, affiliation agreements, construction agreements | Original contracts to be held by Office of Risk Management and Contracting, Purchasing or Personnel. Retain 7 years after termination of agreement, or longer if helpful as to form. | Responsible Department |
| Freedom of Information Act Requests | FOIA’s | 3 years | Office of Legal Affairs |
| Legal Opinions | Research Memoranda | Retain as long as research is helpful. | Office of Legal Affairs |
| Litigation Records | Other adversary proceedings, and complaint files | 7 years after termination of the litigation, unless particular records are helpful for other research/cases and thus, retained longer. | Office of Legal Affairs |
| Presidential Search Materials |  | 3 years after date of decision | Office of Legal Affairs |
| Real Property records |  | Permanent | Office of Legal Affairs |
| Operating Budget requests | Board agendum and resolutions | Permanent | Office of Legal Affairs |
| Capital Outlay budget requests | Board agendum resolutions | Permanent | Office of Legal Affairs |
| Subpoenas | (OU as non-party custodian of transcripts) and supporting documentation | 7 years from date of subpoena | Office of Legal Affairs |
| Immigration |  |  | Office of Legal Affairs |

**CENTER FOR MULTICULTURAL INITIATIVES (CMI)**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Center for Multicultural Initiatives (CMI) | Affirmative Action Plan |  | Permanent | CMI |
| Utilization Analysis |  | 3 years | CMI |
| Biannual EEO-6 Report |  | Permanent | CMI |
| Grievances/discrimination-complaints |  | 7 years | CMI |
| Compliance review |  | Until revised/replaced | CMI |
| ADA-program records |  | 7 years | CMI |
| Decisions on Undue Burden, Fundamental Alterations, etc. |  | Permanent | CMI |
| Committee records - minutes and related records pertaining to official Office of Equity Committees |  | Permanent | CMI |
| Complaints - student/staff |  | 7 years | CMI |
| Scholarship recipient counseling records |  | 7 years | CMI |

**ATHLETICS**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Athletics | Academic | Reporting forms | 5 years | Athletics |
| Certification of compliance form |  | 5 years | Athletics |
| Information and sports scholarship forms |  | 5 years | Athletics |
| Student | Athlete statement forms | 5 years | Athletics |
| Athletic eligibility forms |  | 5 years after participation | Athletics |
| Insurance Liability forms |  | 7 years | Athletics |
| Squad Lists |  | Permanent | Athletics |
| Grants-in-Aid-Athletics |  | 5 years | Athletics |
| Team rosters |  | Permanent | Athletics |
| Sports Results |  | Permanent | Athletics |

**COMMUNICATIONS AND MARKETING**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Communications and Marketing (C&M) | News releases |  | Permanent | C&M |
| Faculty/AP biography files |  | Permanent | C&M |
| Photo negatives |  | Permanent | C&M |
| Photos |  | Variable based on subject | C&M |
| Samples: Publications, videos, advertisement, central web pages |  | 5 years, then to archives | C&M |

**INTERNAL AUDIT**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Internal Audit | Record copies of official university policies, procedures and regulations governing university operations | A. Current  B. Superseded | Permanent  Permanent | Internal Audit |
| Audit reports, audit work papers, and related computer files |  | 7 years or two prior audits, whichever is longer | Internal Audit |
| Special projects |  | Permanent | Internal Audit |

**OAKLAND UNIVERSITY RECORD RETENTION PROCEDURES**

## FINANCE & ADMINISTRATION DIVISION

1. **OFFICE OF TREASURY MANAGEMENT**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Treasury Management | Capital Debt Records |  | 7 years after extinguishment | Treasury Mgmt |
| Banking Agreements and Correspondence |  | 3 years after expiration | Treasury Mgmt |
| Trust Records |  | For the term of the trust plus 7 years | Treasury Mgmt |
| Endowment Records |  | Permanent or for the term of the endowment plus 7 years. | Treasury Mgmt |
| Investment Records | a. Investment reports/bank statements  b. Investment work sheets  c. Donor stock files | a. 3 years  b. 3 years  c. 6 years | Finance |
| Investment Agreements and Records |  | 7 years after expiration | Treasury Mgmt |

1. **BUDGET & FINANCIAL PLANNING**

| Area of Responsibility | | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- | --- |
| Budget and Financial Planning | Operating and Capital Budget Records-Housed in Facility Management | 1. Budgets approved by Board of Trustees   b. Original allocations  c. Budget revisions | 1. 7 years–University Archives 2. 4 years after fiscal year-end 3. 3 years after fiscal year-end | Budget & Financial Planning | |
| Operating budget requests, including Board resolutions |  | 10 years | Budget & Financial Planning | |
| Position control |  | Permanent or 7 years after position elimination, whichever comes first | Budget & Financial Planning | |

1. **FACILITIES MANAGEMENT**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Americans with Disabilities Act | Correspondence received/originated |  | 3 years | Engineering |
| Transition plan |  | Until superseded | Engineering |
| Self-evaluation |  | Until superseded | Engineering |
| Complaints and accommodation requests |  | 7 years | Engineering |

**Construction**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Construction | Construction project files/warranties |  | 10 years | Capital Planning & Design and Engineering |
| Construction projects - “as builts” |  | Permanent | Capital Planning & Design and Engineering |
| Renovation project files |  | 10 years | Capital Planning & Design and Engineering |
| Renovation projects - “as builts” |  | Permanent | Capital Planning & Design and Engineering |
| Capital Outlay Requests |  | 3 years | Capital Planning & Design |

**Facilities Management Operations**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| Facilities Management Operations | Employee Time Cards and Sheets | 1. Staff 2. Student | 3 years  3 years | Business Office |
| Overtime | Authorization Sheets | 3 years | Business Office |
| Maintenance Work Orders |  | 3 years | Business Office |
| Utility Bills |  | 3 years | Business Office |
| Utility Consumption Records |  | 10 years | Engineering |
| Material Safety Data Sheets | For construction | Most current | Capital Planning & Design |
| Material Safety Data Sheets | For Construction for Operations | Most current | Plant Maintenance and Custodial & Grounds |
| Spray Log and Licenses |  | 6 years | Grounds |
| Equipment Instructions and Maintenance Logs |  | Life of Equipment | Plant Maintenance |
| Inventory and adjustment reports |  | 3 years | Business Office |
| Reports - Paperwork  a. Audit reports  b. Inventory Value (Monthly)  c. Usage/Usage Summary (Monthly) | a. Audit reports  b. Inventory Value (monthly)  c. Usage/Usage Summary (Monthly) | 1. 3 years 2. 1 year 3. 3 years | Business Office |

1. **CONTROLLER**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Controller | Financial Statements |  | Permanent | Controller |
| Tax Returns (except for depreciable property) |  | Current year plus 7 years | Controller |
| Bond detail transaction records |  | 7 years after extinguishment | Controller and Treasury Management |
| Audit documents and records |  | 7 years | Controller |
| Legal Records | Deeds, easements, titles, legal opinions, etc. | Permanent | Controller's Office |
| Real Property Records, | All materials pertaining to: land acquisition and sales, negotiation papers, correspondence, agreements, options, deeds, surveys, and purchase/sales contracts. | Permanent | TBD |
| Depreciable Property Acquisition Records |  | Until property is sold and then the retention period for the year in which the return was filed | Controller |

**Student Business Services**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Document | Description | Duration | Official Repository |
| Student Business Services | 1098-T Tuition Statement (OMB No. 1545-1574) |  | Three years plus current fiscal Year | Student Business Services |
| Authorization for students (paper form): | * Direct deposit authorizations * Financial Aid Payment and Disbursement Authorization * Parent PLUS Authorization | Two years after student no longer enrolled and all financial obligations to the University have been fulfilled | Student Business Services |
| Bankruptcy Files – Dismissed |  | Eleven years plus current fiscal year | Student Business Services |
| FISAP supporting documentation |  | Three years from the date of FYE Report (December 31st) | Student Business Services |
| Legal Accounts (Bankruptcy and Judgments) |  | Four years after the account is closed | Student Business Services |
| Perkins Student Files |  | Three years after account is paid in full | Student Business Services |
| Returned/NOC ACH notifications (payments returned by bank; ACH, bankcard, check) |  | Two years plus current fiscal year | Student Business Services |
| Short Term Loan Applications |  | Five years from date the obligation paid in full | Student Business Services |
| Student Accounts Collection Account Records |  | Ten years plus current fiscal year | Student Business Services |
| Unclaimed Property/Escheats |  | Ten years plus current fiscal year | Student Business Services |

**Accounting**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Document | Description | Duration | Official Repository |
| Accounting | Year-end ledgers |  | Permanent retention. Ledgers are currently microfiched or electronic. | Accounting |
| Check Registers |  | 7 years | Accounting |
| Bank Reconciliation |  | 5 years | Accounting |
| Bank Statements and Activity Reports |  | 7 years | Accounting |
| Vouchers (DPV, VPA, MCV, Travel, SOP, Reimbursement) |  | 8 years. Plant fund purchases 2 years after no longer in use. | Accounting |
| Journal Vouchers |  | 8 years | Accounting |
| Cash Receipts & Deposit Data |  | 8 years | Accounting |
| A/P – Canceled checks |  | 7 years | Accounting |
| P/R – Canceled checks |  | 7 years | Accounting |
| Organization Request or Change Forms |  | While active | Accounting |

**Payroll**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Document | Description | Duration | Official Repository |
| Payroll | Time sheets/Leave Reports | Staff and Students | 5 years | Payroll |
| W-2 Forms | Employer’s copy | 7 years | Payroll |
| Canceled W-4 Forms |  | 4 years | Payroll |
| Canceled Payroll Checks |  | 7 years | Payroll |
| Payroll Audit Registers |  | 7 years | Payroll |
| Account reconciliations |  | 5 years | Payroll |
| Payroll Reports |  | 7 years | Payroll |
| 1042S | Employer’s copy | 7 years | Payroll |
| Payroll Authorization forms |  | 3 years after termination | Payroll |
| Department registers |  | Permanent | Payroll |
| Payroll History report |  | 7 years | Payroll |
| Authorization to deposit payroll checks for employees |  | 3 years after termination | Payroll |

**Purchasing**

| Area of Responsibility | Type of Record | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Purchasing | All requests for Proposals | RFP, RFQ, RFI and all related records |  | Purchasing |
| Bid and Quotes (and related records) |  | 7 years | Purchasing |
| Purchase Orders |  |  |  |
| E&I Cooperative contracts |  | 7 years from termination | Purchasing |
| University Vehicles | Purchase, lease |  | Purchasing |

**ENVIRONMENTAL HEALTH & SAFETY and LABORATORY SAFETY**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Document | Description | Duration | Official Repository |
| Environmental Health  & Safety (EH&S)  And  Laboratory Safety | EH&S Compliance | Policy and Procedure Manuals | Most current | Environmental Health & Safety |
| Attendance records for annual training conducted by EH&S |  | Permanent | Environmental Health & Safety |
| EH&S training materials |  | Most current | Environmental Health & Safety |
| EH&S Regulations | Federal, State and local | Until super-seded or amended | Environmental Health & Safety |
| Attendance records for “new employee” EH&S training conducted by departments |  | Permanent | Environmental Health & Safety |
| EH&S Training Examinations |  | Permanent | Environmental Health & Safety |
| EH&S “Regulation-Applicability Surveys” | Submitted to OU departments introducing new reg and requesting corresponding forms be completed so that EH&S can assess applicability of reg to department operations | Permanent | Environmental Health & Safety |
| Indoor Air Quality (IAQ) logs |  | Permanent | Environmental Health & Safety |
| SHARE (Safety, Health and Risk Exposure) | Report forms and log | 7 years | Environmental Health & Safety |
| Equipment instructions and maintenance logs for Aerial Work Platforms |  | Life of Aerial Work Platform | Environmental Health & Safety |
| Aerial Work Platform permits |  | Most current–(reissued every 3 years) | Environmental Health & Safety |
| OSHA Injury & Illness Logs |  | 6 years | Environmental Health & Safety |
| Accident Reports |  | 6 years in EH&S | Environmental Health & Safety |
| Committee Minutes |  | Permanent | Environmental Health & Safety |
| Waste Manifests (Haz and Non-haz) and Land Ban Restriction forms |  | Permanent | Environmental Health & Safety |
| Hazardous Waste Inventories |  | 6 years | Environmental Health & Safety |
| Air Emissions Inventories (AC10s/AQ30s) and MDNR Air Permit(s) |  | 6 years | Environmental Health & Safety |
| Underground Storage Tank Historical Records |  | Permanent | Environmental Health & Safety |
| Underground Storage Tank Leak Detection Records |  | Permanent | Environmental Health & Safety |
| Medical Waste (Internal and External Manifests) |  | Permanent | Environmental Health & Safety |
| PCB Historical Records |  | 30 years | Environmental Health & Safety |
| Manville Action Claims and supporting paperwork |  | 30 years after claims have been paid | Environmental Health & Safety |
| EH&S Chronological file |  | 6 years | Environmental Health & Safety |
| Hazardous Material Inventories |  | Most current | Environmental Health & Safety |
| Material Safety Data Sheets (hard copy) |  | Most current | Environmental Health & Safety |
| Michigan Right-to-Know (MRTK) Compliance Audits |  | Permanent | Environmental Health & Safety |
| Laboratory Chemical Inventories |  | Most current | Environmental Health & Safety |
| Lists of laboratory chemicals which present moderate to high acute or chronic toxicity |  | Most current | Environmental Health & Safety |
| Small Purchase Orders (SOPs) from laboratory which perform high-hazard operations |  | Most current | Environmental Health & Safety |
| Lists of carcinogenic, teratogenic or mutagenic chemicals used in research labs |  | Permanent | Environmental Health & Safety |
| Fume Hood, Eyewash and Safety Shower measurements |  | 6 years | Environmental Health & Safety |
| Chemical Safety Laboratory Audits and Response Forms |  | Permanent | Environmental Health & Safety |
| Radioisotope usage and User Permits |  | Most current | Environmental Health & Safety |
| Radiation Safety Laboratory Audits and Letters of Violation |  | 6 years | Environmental Health & Safety |
| Respiratory fit-test results; medical approvals; and medical status forms |  | Permanent | Environmental Health & Safety |
| Industrial Hygiene Investigation Reports |  | Permanent | Environmental Health & Safety |
| Industrial Hygiene Analyses |  | Permanent | Environmental Health & Safety |

**UNIVERSITY HUMAN RESOURCES**

**University Human Resources**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Document | Description | Duration | Official Repository |
| University Human Resources | Arbitration awards |  | Permanent | HR |
| Arbitration (briefs, exhibits, transcripts/notes and grievances) |  | 10 years | HR |
| Bargaining notes and proposals |  | 10 years | HR |
| Disciplinary |  | 7 years after termination | HR |
| Unemployment compensation |  | 7 years after last date of activity | HR |
| Employee File – includes retirement system information (except the plan selection record), personnel transaction form, salary letters, faculty/staff transmittals   1. Active 2. Terminated 3. Retired 4. Deceased | Includes retirement system information (except the plan selection record), personnel transaction form, salary letters, faculty/staff transmittals | 1. Until terminated 2. 7 years post-date of last activity 3. 7 years post-date of last activity 4. 7 years post-date of last activity | HR |
| Employee File – Retirement plan record |  | 3 years after retirement, death or until person reaches 70 years old | HR |

**Benefits**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Document | Description | Duration | Official Repository |
| HR / Benefits | Employee enrollment records (excluding life insurance) |  | 7 years from the date insurance terminates | HR |
| Maximum calculations |  | 7 years | HR |
| Insurance plan records |  | 7 years past termination of plan | HR |
| Life insurance enrollment records (absent proof of death) |  | 13 years from last activity | HR |
| Insurance policies/contracts |  | 7 years after expiration | HR |
| Claim runs |  | 10 years | HR |
| Tuition waivers |  | 7 years | HR |
| Sick bank records |  | 10 years from last activity (CT and AP Sick Banks) | HR |
| Retirement contribution reports |  | Permanent | HR |
| Insurance payment reports (employee rather than institutional payments) |  | 7 years | HR |
| Fund ledgers with corresponding reconciliation for all insurance accounts |  | 4 years | HR |
| Terminated employees–benefit files (terminated employees does not include persons on long-term disability or retired persons) |  | 7 years from date insurance ends | HR |
| Former employees receiving long-term disability benefits and not participating in health plans |  | 7 years from date insurance ends | HR |
| Former employees receiving long-term disability benefits and participating in health plans |  | 7 years from date long-term disability or health plan ends, whichever is later | HR |
| Retiree Benefits |  | 7 years after death of retiree. However, if spouse is enrolled in health insurance plan, retention is 7 years after death of spouse. | HR |

**Compensation**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Document | Description | Duration | Official Repository |
| HR / Compensation | Exemption issues |  | 10 years | HR |
| Wage Rate Tables/Schedules |  | 10 years | HR |
| Job descriptions and ADA data |  | 10 years | HR |
| Classification job content summaries |  | 7 years | HR |
| Longevity records |  | 7 years after last activity | HR |
| Special rate adjustments |  | 7 years | HR |
| Annual adjustment records |  | 3 years | HR |
| Special assignment and higher class pay |  | 3 years | HR |
| Continuing Contract Files |  | 7 years after termination - same as Personnel files | HR |

**Employment**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Type of Document | Description | Duration | Official Repository |
| Human Resources |  | Employment History–index cards | 7 years post termination | HR |
| Personnel files | (containing no medical records) | 7 years post termination | HR |
| Medical records | (keep separate from personnel files) | 30 years post termination | HR |
| I-9 forms | For audit purposes, I-9 forms should be kept in separate notebooks | 3 years after the date employment begins or 1 year after employment is terminated, whichever is longer | HR |
|  | Employment Applications–not employed | 3 years from the date on which the hiring decision is made | HR |
|  | Skill test results  a. Internal employees  b. External candidates | a. See personnel file  b. 1 year | HR |
|  | Personnel files of persons working in office | 7 years post termination | HR |

**Worker’s Compensation**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
|  | Licenses and permits |  | Permanent | HR |
| Medical records | Case files | 30 years post termination | HR |
| Claim files | Closed | 7 years post termination | HR |

**7. UNIVERSITY SERVICES**

**Mailroom**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| University Services | United States Postal Service ---- Firm delivery receipts as provided by USPS when mail is picked up. | Insured, certified and registered received on campus | 1 year and current fiscal year | Mailroom |
| United States Postal Service -- Mailing Books | Insured, certified, registered sent out | 1 year and current fiscal year | Mailroom |
| FedEx, DHL and UPS logged electronically. | Invoices are hardcopy backup. Daily pick-ups, and numbers of packages sent. | 1 year and current fiscal year | Mailroom |
| Management Reports | a. Meter money spent  b. Final edited monthly printout | 1 year and current fiscal year | Mailroom (Resides on Server) |
| Daily Meter Reading Tickets |  | Current fiscal year | Mailroom |
| Mail Services Work Requests including samples |  | Current fiscal year | Mailroom |

**Printing Services**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Printing Services | Printing Services work request | Duplicate copies of original work order showing specifications, charges, and payment | 2 years | Printing Services |

**Property Management**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Property Management | Equipment Records | Documentation of additions, deletions and transfer of equipment inventory | 4 years from transaction | Property Management |
| Year -End fixed assets audit schedules |  | 3 years | Accounting |
| Equipment Physical Inventory Reports |  | 3 years | Property Management |
| Property Release Forms | Disposal of surplus by custodial departments | 3 years | Property Management |

1. **OAKLAND UNIVERSITY POLICE DEPARTMENT**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Title | Description | Duration | Official Repository |
| Oakland University Police Department | Laboratory Chemical Inventories |  | Most current | Police Department |

1. **RISK MANAGEMENT**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Risk Management | Policies | a. Property policies/contracts  b. Liability policies/contracts | 2 years after expired and last activity  Permanent | Risk Management |
|  | Errors & Omissions Policies/contracts | 7 years after expired and last activity | Risk Management |
|  | Other insurance policies | 7 years after expired and last activity | Risk Management |
|  | Insurance claims | 2 years from close of claim | Risk Management |
|  | Incident reports filed with claims adjuster | 6 years | Risk Management |
|  | Driver records | 3 years | Risk Management |

**OAKLAND UNIVERSITY RECORD RETENTION**

**PROCEDURES**

***UNIVERSITY ADVANCEMENT***

1. **VICE PRESIDENT OF UNIVERSITY ADVANCEMENT**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| University Advancement |  | Biographical records | Permanent | University Advancement |
|  | Gift histories | Permanent | University Advancement |
|  | Donor files | Permanent | University Advancement |

1. **ALUMNI RELATIONS**

**Files**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| University Advancement |  | Corporate | Permanent | University Advancement |
|  | Biographical | Permanent | University Advancement |
|  | Obituaries | Permanent | University Advancement |
|  | Campaign | Permanent | University Advancement |
|  | Scholarship | Permanent | University Advancement |
|  | Loan Fund | Permanent | University Advancement |
|  | Endowment | Permanent | University Advancement |
|  | Estate Planning | Permanent | University Advancement |
|  | Matching Gift Companies | Permanent | University Advancement |
|  | Board, Committees, etc. | Permanent | University Advancement |
|  | Annual Report | Permanent | University Advancement |

**Receipts, Reports and Forms**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| University Advancement |  | Monthly Report  a. July-May  b. June | a. 2 years  b. Permanent | University Advancement |

**OAKLAND UNIVERSITY RECORD RETENTION**

**PROCEDURES**

***STUDENT AFFAIRS AND DIVERSITY***

1. **VICE PRESIDENT FOR STUDENT AFFAIRS AND CHIEF DIVERSITY OFFICER**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Student Affairs and Diversity |  | Correspondence | 6 years | Student Affairs |
|  | Grants | 2 years | Student Affairs |
|  | Food and vending service contracts and cable TV contract | 7 years post expiration | Student Affairs |
|  | Budgetary files (working files) | 5 years | Student Affairs |
|  | NCA Complaints | 10 years (period between NCA reviews) | Student Affairs |

1. **DEAN OF STUDENTS OFFICE**

**Discipline Files**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Dean of Students |  | Records of disciplinary actions | 7 years from date of last activity | Dean of Students |
|  | Records of students who are suspended or dismissed | 7 years from date of last activity | Dean of Students |
|  | Disciplinary records of students banned from the university campus and disciplinary incidents not covered in the above two items | 7 years from date of last activity | Dean of Students |
|  | Students permanently expelled | Permanent | Dean of Students |

1. **UNIVERSITY HOUSING**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Title | Description | Duration | Official Repository |
| University Housing |  | Active rental applications and agreements | Permanent | Housing |
|  | Canceled applications and agreements | 7 years | Housing |
| Rosters | student housing assignments | 7 years | Housing |
|  | Guest registration cards and reports | 4 years | Housing |
|  | Discipline matters | 5 years after date of last incident | Housing |
|  | Fire drill reports | 2 years | Housing |
|  | Summer Conferences  a. Registration cards  b. Receipt books | 7 years  7 years | Housing |
|  | ADA concerns | 7 years | Housing |

**Meadow Brook Subdivision**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| University Housing | Individual homeowner records – current |  | Permanent | Housing |
| Former homeowner records |  | 7 years after separation | Housing |
| Mortgages, deeds, land leases, etc. |  | Permanent (or 10 years after separation) | Controller’s Office |

**3. ACADEMIC SKILLS CENTER**

# Student Records

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Academic Skills Center | DOS | Student Files for Dismissal Option Status (DOS) | 6 years from placement in program or six years from current activity | Academic Affairs |
|  | Student Files for Probation | 6 years from placement in program or return to good academic standing | Academic Affairs |
|  | Student Files for Readmission | 6 years from placement in program or return to good academic standing | Academic Affairs |

**Reports**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Academic Skills Center | Annual Reports |  | Permanent | Academic Affairs |

**Records**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Records | Tutor Logs |  | 2 years or less as these are simply forms that students sign for tutoring and we then input them into our database where all of our statistics are kept and include this in our Annual Reports | Academic Affairs |
| Tutor Application File |  | 5 years | Academic Affairs |
| Supplemental Instruction Reports |  | Permanent | Academic Affairs |
| Student Payroll Records |  | 3 years post termination | University Human Resources |
| Academic Standing & Honors Records |  | Permanent | Academic Affairs |

**4. ADMISSIONS & ORIENTATION**

**Undergraduate Applications for Admission**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Admissions & Orientation |  | Students who are admitted and enroll | 7 years from date of last activity or termination | Registrar |
|  | Students who are admitted and do not enroll | 18 months | Registrar |
|  | Students who do not complete application process | 1 year | Registrar |
| OU Post | bound edition | Permanent | TBD |
| OU Post | daily edition | 1 year | TBD |
| Orientation Materials | FTIAC, Transfer and Parent  a. Registration cards  b. Rosters  c. Notebooks | a. 2 years  b. 3 years  c. 5 years | New Student Programs |
| Reports | a. Annual report  b. Orientation/enroll-ment statistics | a. Permanent  b. 5 years | New Student Programs |
|  | Documentation/policies and procedures | Permanent | New Student Programs |
| Placement Testing | rosters | 3 years | New Student Programs |
| Collegiate Communications 101 | class rosters | 7 years | New Student Programs |
|  | Students who are rejected | 3 years | Registrar |

**5. CENTER FOR STUDENT ACTIVITIES**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Center for Student Activities |  | Artist/speaker contracts | 7 years from event | Center for Student Activities |
|  | Artist/speaker files | 3 years | Center for Student Activities |
|  | Disciplinary actions | 7 years from last activity or longer if extenuating circumstances. | Center for Student Activities |

**6. CENTER FOR MULTICULTURAL INITIATIVES**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Center for Multicultural Initiatives |  | Artist/speaker contracts | 7 years from event | CMI |
|  | Artist/speaker files | 3 years | CMI |
|  | Disciplinary actions | 7 years from last activity or longer if extenuating circumstances. | CMI |

**7. GENDER & SEXUALITY CENTER**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Gender & Sexuality Center |  | Artist/speaker contracts | 7 years from event | CMI |
|  | Artist/speaker files | 3 years | CMI |
|  | Disciplinary actions | 7 years from last activity or longer if extenuating circumstances. | CMI |

**8. GRAHAM HEALTH CENTER**

**Administrative Office**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Title | Description | Duration | Official Repository |
| Graham Health Center |  | Billing records | 5 years | Graham Health Center |
|  | Equipment records on inspection and maintenance | 5 years includes meter charts | Graham Health Center |
|  | Equipment operating instructions | Permanent | Graham Health Center |
|  | Policies and procedures | Permanent | Graham Health Center |
|  | Licenses, permits, contracts | Permanent | Graham Health Center |
|  | Permits - Alcohol and Narcotics | Permanent until superseded | Graham Health Center |
|  | Reports - departmental | Permanent | Graham Health Center |
|  | Surveys and inspection reports | 3 years | Graham Health Center |
|  | Communicable disease reports to state and local health departments | 3 years | Graham Health Center |

**Clinic**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Graham Health Center Clinic |  | Appointment books | 3 years | Graham Health Center |
|  | Patient register | Permanent | Graham Health Center |
|  | Non-employee medical record | 7 years from last date of service\* | Graham Health Center |
|  | Employee medical record (includes student employees) | Permanent | University Human Resources |

\*Exception: fraudulent concealment, foreign object left in body, and injury to reproductive system–these records should be retained indefinitely.

**Pharmacy (controlled substance)**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Pharmacy | Inventory |  | 2 years | Graham Health Center |
| Narcotics Inventory |  | Permanent | Graham Health Center |
| Narcotics dispensed |  | Permanent | Graham Health Center |
| Prescriptions |  | 5 years | Graham Health Center |

**Insurance**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Medical Insurance | Workers’  Compensation |  | Permanent | Graham Health Center |
| Student health insurance |  | 7 years | Graham Health Center |

**9. COUNSELING CENTER**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Title | Description | Duration | Official Repository |
| Counseling Center | Client records |  | 15 years from last date of service | Counseling Center |
| Billing records |  | 4 years | Counseling Center |
| Committee records |  | Permanent | Counseling Center |
|  | Confidential materials  a. Test results  b. Case notes | a. 3 years  b. 3 years from last date of service | Counseling Center |

**10. DISABILITY SUPPORT SERVICES**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Disability Support Services |  | Records of students with disabilities (name, address, social security number, type of disability, documentation of disability) | 5 years | Disability Support Services |

**11. FINANCIAL AID**

**Student Folder**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Title | Description | Duration | Official Repository |
| Financial Aid Student Folder |  | Inactive status--includes the student eligibility report and correspondence which records the status of, and transactions related to, the student’s financial aid | 5 years after filing of Federal Fiscal Operations Report pertinent to file | Financial Aid |
|  | Active status-includes all material relating to the student’s financial aid | Permanent | Financial Aid |
|  | Student file folder–Veteran | Retained until delimiting date of benefits expires (up to 10 years) | Financial Aid |
|  | Student file folder-department | Retained until expiration of benefit caries with program (more than 10 years) | Financial Aid |

**Student Employment**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Financial Aid | Federal work/study |  | 7 years post termination | Financial Aid |
| State work/study |  | 7 years post termination | Financial Aid |
| Non-work/study |  | 3 years post termination | Financial Aid |
|  | Student employment file and withholding statements in an inactive status | 5 years after filing of Federal Fiscal Operations Report | Financial Aid |
|  | Final academic year-to-date report of maximum earnings by student | 5 years after filing of Federal Fiscal Operations Report | Financial Aid |

**Reports**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Financial Aid |  | Applications for funds, reports, and annual fiscal activity reports per the financial aid program and federal audit reports | 7 years | Financial Aid |
| FFEL – Federal Family Educational Loan Programs |  | 3 years after last activity | Financial Aid |
| Pell Grant records |  | 3 years after the award year in which the student enrolled | Financial Aid |
|  | Short-term loan applications | 5 years | Financial Aid |
|  | Personnel files of persons working in office | 7 years post termination | University Human Resources |

**12. CAREER SERVICES**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Financial Aid  Career Services |  | Correspondence  a. Employer’s  b. General  c. Registrants | a. 3 years  b. 3 years  c. Life of credential files | Career Services |
| Credential file | Student’s resumes, letters of recommendation, evaluation forms | 7 years after the date of last activity | Career Services |
| On Campus Interview | a. Master recruiting calendar  b. Schedules  c. Employer evaluation forms | a. 1 year  b. 3 years  c. 3 years | Career Services |
| Referral Records |  | 3 years | Career Services |
| Employment Surveys |  | Permanent | Career Services |

**13.** **PROJECT UPWARD BOUND**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Project Upward Bound |  | Record related to grant awards/funds | 5 years from the date of submission of the final expenditure report | Upward Bound |
|  | Records related to compliance (student master files, lesson plans, etc.) | 3 years | Upward Bound |
|  | Records related to performance (annual reports, program evaluations, personnel files, etc.) | 3 years | Upward Bound |
|  | Statistical Records (tracking information, progress reports, etc.) | 3 years | Upward Bound |

**Co-op Office**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Area of Responsibility | Title | Description | Duration | Official Repository |
| Project Upward Bound |  | Employer file  a. Active  b. Inactive | Permanent  3 years after date of last activity | Co-op Office |
|  | Applicant file  a. Placed student  b. Not placed student | 7 years  1 year | Co-op Office |
|  | Candidate referral list | 3 years | Co-op Office |
|  | Semester placement report | 3 years | Co-op Office |
|  | Student Counseling form | 1 year | Co-op Office |
|  | Annual report work papers | 3 years | Co-op Office |

**Internship Office**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Project Upward Bound | Program files |  | 3 years | Internship Office |
| Grant proposals |  | 7 years | Internship Office |
| Job Training Partnership Act (JTPA) | grant records | 7 years | Internship Office |

**14. SPECIAL PROGRAMS**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Special Programs |  | Course records | 5 years | Special Programs |
|  | Confidential materials | Permanent | Special Programs |
|  | Grade books/grade lists | 5 years | Special Programs |

**15. RECREATION CENTER**

**Intramural Sports**

| Area of Responsibility | Title | Description | Duration | Official Repository |
| --- | --- | --- | --- | --- |
| Recreation Center |  | Accident/injury reports | 4 years | Campus Recreation |
|  | Sports results (score sheets, etc.) | 1 year | Campus Recreation |
|  | Team rosters | 1 year | Campus Recreation |
|  | News releases | Permanent | Campus Recreation |

**OAKLAND UNIVERSITY RECORD RETENTION PROCEDURES**

**ACADEMIC AFFAIRS DIVISION**

1. **EXECUTIVE VICE PRESIDENT OF ACADEMIC AFFAIRS AND PROVOST**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **AA Area of Responsibility** | **Type of Record** | **Description** | **Duration** | **Official Repository** |
| **Executive Vice President of Academic Affairs and Provost** | Tenure Review Documents | Ultimate decision and additional materials related to tenure reviews. | Permanent | AA/AHR |
| Sabbatical Documentations | Ultimate decision and additional materials related to sabbatical requests. | 7 years after termination | AA/AHR |
| University Senate minutes and support | Senate minutes taken by University Senate secretary and documents that support agenda items | Permanent | University Archives |
| Student/Faculty/Community Complaint System | Concerns that are electronically submitted and tracked and responded to by the AA Office | 7 years | Office of Executive Vice President for Academic Affairs and Provost |
| **Academic Departments General Records** | Program Review | Results from regular program review. | 20 year minimum (longer if required by a units accreditation) | Provost and department |
| Accreditation, certification and internal and external assessment records | Accreditation documents (self studies) and accreditation results | Accreditation status should be kept permanently (All public documentation and formal self studies). | Provost and department |
| Affiliation Agreements | Contracts with various organizations related to student activities and agreements with the university, such as nursing placements, educational placements, international, and the like | 7 years after last activity or termination | Provost and department |
| Curriculum documentation | Curriculum documentation at the department level, most notably minutes from faculty assemblies, COI, and similar bodies. | 10 years minimum or based on unit accreditation requirements | Dean’s office or associated academic body (faculty assembly, COI, etc). |
| Course syllabi | Course description that includes objectives, credit hours and content | 7 years minimum or based on unit accreditation requirements | Dean’s office or Department or Unit Office. |
| Faculty grades | Detailed grades (more than final grades) such as assignments, papers, quizzes, and tests. | 3 years | Faculty member assigned to teach the course |
| Student files | Advising notes | 7 years after student’s last date of attendance | Adviser |
| A file for each student (grievance or appeal) | 7 years after student’s last date of attendance | Dean’s Office |
| Course evaluation forms | Course evaluation forms (Electronic/Paper) | 10 years or based on unit accreditation requirements. Departments should consult departmental procedures for Re-employment, Tenure and Promotion to determine if evaluations should be retained longer. | Dean’s Office, Department, or Oakland University Generic Course Evaluations Manager (e-Lis). |
| Incomplete grades | Agreement/Form made between faculty with student | 2 years | Faculty member |
| “P” grades | See catalog | 3 years | Faculty member |
| Thesis | Departmental portion of a thesis | Until transferred to the graduate school | Department |
| Scholarly Activity of Faculty |  | 7 years post termination | Dean’s Office |
| Internship/practicum records | Student internship/practicum records in student file, as appropriate |  |  |
| Evidence of academic dishonesty | Cheating, plagurism | 7 years | Dean’s Office |
| **Academic Human Resources** | Sabbatical leave applications and reports | Keep record of applications for sabbaticals and any additional paperwork in support of, approvals, denials, and postponements, report from faculty once sabbatical is complete, reports run by AHR. | 4 years after termination. Sabbatical applications and reports are saved in both Banner (BDM) and Digital Measures. | UHR |
| Faculty personnel files, including faculty review dossiers (containing no medical records). | Personnel files include change of statuses. | 7 years post termination (once tenured, pre-tenured dossiers should be discarded). | UHR (through BDM/Digital Measures/e-space) |
| Medical records (keep separate from personnel records) | Medical records are now handled by UNUM so the company will have the information. We will keep any forms/letters by UNUM indicating approved or denied leaves. | 30 years post termination | UHR (through UNUM) |
| I-9 forms | I-9 form and any supporting documents needed for approval. | 3 years after the date employment begins or 1 year after employment is terminated, whichever is longer. For audit purposes, I-9 forms should be kept in separate notebooks. | UHR |
| Employment forms (Full-time & Part-time)   1. Lecturers 2. Researchers | Includes offer letters, contracts, general terms, and any other documents needed for hiring. | 7 years post termination | UHR and Academic Units |
| Copies of resumes/vitae for potential faculty in academic department | Resumes and vitaes should be uploaded to BDM as part of the personnel record | 1 year | UHR (PeopleAdmin) and Academic Units |
| Employment applications – not employed | All employment applications are stored in PeopleAdmin | 7 years from date of termination | UHR (PeopleAdmin) |
| Search Committee records | Search committee records are uploaded into PeopleAdmin and each School/College should have record. | 7 years from date of termination if hired; 7 years from date not selected | UHR (PeopleAdmin) |
| Bargaining Records | All notes, letters of agreements, and contracts between OU and AAUP | Permanent | Legal Office and some may be retained by bargaining team members. |
| Grievance Records | Recorded grievance and any supporting documentation provided by OU or the AAUP | Permanent | AHR, Legal Office, and outside counsel if applicable |
| Arbitration Awards | All documentation provided by the arbitrator who has heard the case | Permanent | AHR, Legal Office, and outside counsel if applicable. |
| Arbitration (records, briefs, exhibits, transcripts/notes, and grievances) | All documentation provided by the arbitrator who has heard the case and any supporting document provided by OU representatives | 10 years | AHR, Legal Office, and outside counsel if applicable. |
| Faculty positions and search materials (recruiting) | Job descriptions and posting information included in PeopleAdmin | 7 years after completion of search | PeopleAdmin (AHR) |
| **Honors College** | Presidential Medallion Program | Presidential Medallion Recipient | Permanent | Code in Banner - TBD |
| e-Learning and Instructional Support (e-LIS) | Normal academic term Moodle courses | All regular semester (winter, summer, fall) for credit courses are given a space on Moodle, the OU LMS. | 1 year after the end of the course. | e-Learning and Instructional Support |
| Continuing education Moodle courses | All continuing education courses are given a space on Moodle, the OU LMS. They need to stay on the server longer than regular semester courses. | Archived upon request by PACE, usually 1 year after the end of the course. | e-Learning & Instructional Support |
| School of Medicine Moodle courses | All OUWB courses are given a space on Moodle, the OU LMS. They need to stay on the server longer than regular semester courses. | Archived upon request by OUWB, usually 5 years after the end of the course. | e-Learning & Instructional Support |
| Moodle course backups | All Moodle courses are backed up for a few years after they are removed from the Moodle server. This is done as faculty may not teach the course for a year or two, and may need a copy that they cannot access on Moodle. | 3 years after the end of the course. | e-Learning & Instructional Support |
| Moodle Practice courses | Faculty can request practice spaces on the Moodle server in order to work on their courses before the semester starts. | Permanent for active practice courses, 3 years after becoming inactive | e-Learning & Instructional Support |
| eSpace courses | Faculty and staff can request a space on the eSpace server, which is another instance (copy) of Moodle. These have the same functionality as Moodle courses, and are used for departmental and committee spaces. | Permanent for active spaces, 1 year after becoming inactive. | e-Learning & Instructional Support |
| ePortfolio | All faculty, staff, and students have an online portfolio created for them on the ePortfolio server, which is another instance (copy) of Moodle. These are often used for course projects that require an online portfolio, or for job hunting. | Permanent for active portfolios, 1 year after becoming inactive. | e-Learning & Instructional Support |
| Course evaluations | There are five different course evaluation systems that e-LIS has created over the years. These specialized systems deliver the online course evaluations or aggregate the scanned data of the paper course evaluations. They allow students to complete evals online, and faculty and administrators to review the results. | 10 years after the end of the course. | e-Learning & Instructional Support |
| Panopto recordings on Moodle | The lecture capture system Panopto has a Moodle plugin that allows faculty to automatically link their class recordings into their Moodle course. | Archived 13 months after last time viewed. Moved to Panopto archive for 3 years, then move to the recycle bin for 90 days. Deleted after 90 days. | e-Learning & Instructional Support |
| Panopto recordings on eSpace | The lecture capture system Panopto has a Moodle plugin the allows faculty or staff to automatically link their recordings into their eSpace course. | Archived 13 months after last time viewed. Moved to Panopto archive for 3 years, then moved to the recycle bin for 90 days. Deleted after 90 days. | e-Learning & Instructional Support |
| Panopto recordings on Panopto server | While Panopto recordings can be accessed on Moodle, they are all housed in the cloud in the Panopto server. | Personal Panopto folders are available for 3 years after becoming inactive. | Panopto |
| Zoom | The virtual conferencing software Zoom hosts their recordings done by faculty, staff, and students in their cloud server. | 120 days on the Zoom server, with another 30 days recoverable in trash before permanently deleted. | Zoom |
| YuJa | The lecture capture system and virtual conferencing software YuJa hosts their recordings done by faculty, staff, and students in their cloud server. | Permanent for videos in active Moodle courses, 1 year after becoming inactive. | YuJa |
| Copyleaks plagiarism detection reports | The plagiarism detection software Copyleaks keeps copies of its reports generated from Moodle in its cloud server. | 2 years on the Copyleaks server. | Copyleaks |
| ProctorU exam proctoring | The exam proctoring company ProctorU keeps recordings of all proctored exams on its cloud server. | 1 year on the ProctorU server. | ProctorU |
| Akindi | The test bubble sheet scanning company Akindi (like Scantron) keeps copies of the uploaded test sheets on its cloud servers. | 10 years on the Akindi server. | Akindi |
| Kresge Library | Circulation bill and fine records | Paid – 2 years  Unpaid – indefinite if $1 or more,  2 years if less than $1 | Paid – 2 years  Unpaid – indefinite if $1 or more,  2 years if less than $1 | Kresge Library |
| Reserve material lists submitted by professors | 5 years | 5 years | Kresge Library |
| Interlibrary loan transaction records | 2 years | 2 years | Kresge Library |
| Interlibrary loan invoices | 4 years | 4 years | Kresge Library |
| Interlibrary loan reciprocal borrowing agreements | 7 years after expiration | 7 years after expiration | Kresge Library |
| Graduate School | Students who are admitted and enrolled | Acad files admitted and enrolled students | 7 years from date of last activity | Graduate School BDM |
| Students who are admitted and do not enroll | Application files admitted – no show enrollment | 2 years from the semester of admittance | Graduate School BDM |
| Students who do not complete the admission process | Incomplete applications – missing requirements | 2 years from the semester of application | Graduate School - Slate |
| Students denied | Application materials denied admission | 3 years | Graduate School – Slate |
| Students dismissed | Acad files admitted and dismissed from grad program | 7 years from the semester of dismissal | Graduate School BDM |
| Students in delay status | Applications reviewed – admit decision delayed pending additional information or requirements needed | 3 years from the semester of delay | Graduate School – Slate |
| Master’s Thesis | Approved thesis – required for master’s degree | Permanent | Kresge Library |
| Doctoral Dissertation | Approved dissertation – required for research PhD | Permanent | Kresge Library | ProQuest |
| Graduation audits (graduate students) | Audits – Graduate degree candidates | 3 years from graduation semester | Graduate School |
| Graduation denial letters | Notification that degree requirements are not met | Permanent | Graduate School BDM |
| Graduate Catalog Paper  Graduate Catalog Acalog (digital) | Published graduate catalog – Paper 1966-2011  Published graduate catalog – digital 2011 – current | Permanent  Permanent | Graduate School – Paper  Graduate School – Acalog |
| GA Agreements – graduate assistants | GA Agreements – offer accepted | 7 years post termination | Graduate School |
| Graduate Course Requests – Paper  Graduate Course Requests – Digital | Graduate course history – new, modifications, ended |  | Graduate School – Paper  Graduate School – curriculog |
| I-9’s GA’s | Graduate Assistant signed I-9s | 3 years after the date employment begins or 1 year after employment is terminated whichever is longer. For audit purposes I-9 forms should be kept in a locked file cabinet. | Graduate School BDM |
| Student folders/graduate |  |  |  |
| 1. Regular (not graduated) | Acad files – degree students not graduated | Beginning Fall 2016 | Graduate School BDM |
| 1. Specials and guests | Non degree and guest students | Beginning fall 2022 | Graduate School BDM |
| 1. Student deceased | Acad files – deceased graduate students |  | Graduate School BDM |
| 1. Graduated students | Acad files – students awarded degree |  | Graduate School BDM |
| Office of Grants, Contracts, and Sponsored Research, Research Office | Funded Proposals |  | 3 years after grant termination and acceptance of all final reporting requirements, unless longer period is specified under the agreement. | Research Office |
|  | Internally funded grants |  | 3 years after the performance period ends | Research Office |
|  | Institutional Review Board committee records, including records of FDA regulated research |  | 3 years after termination and/or closing of protocol | Research Office |
|  | Institutional animal care and use committee records |  | 3 years after termination and/or closing of protocol | Research Office |
|  | Human Pluripotent Stem Cell Research Oversight committee records |  | 3 years after termination and/or closing of protocol | Research Office |
|  | Misconduct records | Information and data gathered in course of investigation, reports, and findings | 7 years after conclusion of investigation | Research Office |
|  | Copyrights | Copyrights of research-related intellectual property (e.g., software), not scholarly work or course materials. | Lifespan of Author + 70 years | Research Office |
|  | Patents | Information on patents assigned by faculty to the university | 20 years after the application for the patent. | Research Office |
|  | DEA controlled substance records | Drug Enforcement Administration records, order forms and licenses, State and Federal | A minimum of 2 years past the last transaction/entry according to Federal and State rules. | Research Office |
| Office of the Deans | Sabbatical leave applications and reports | Application downloaded from Faculty Success by Watermark/Report (Forwarded to AHR) | Duration remains the same. Sabbatical applications and reports are saved in both Banner (BDM) and Digital Measures. |  |
| Accreditation records | Reports & Correspondence with Accreditor | Permanent |  |
| Investigation backup materials for proven cases of wrong doing (Involuntary Termination of Faculty) | Evidence related to wrong doing or misconduct of faculty and associated required materials such as student papers, faculty grade books, research materials. All other evidence should go to HR. | 3 years minimum | Department |
| Research Records | Record of data or results in any form that embodies the facts resulting from scientific inquiry and enables replication of the research results | This pertains only to scientific records | 7 years after the end of the contract/grant termination or performance period end date, unless longer period is specified under the agreement or by federal regulations. | Existing data (active or recent projects) is held by the Pl/lab; archived data for faculty no longer at the institution is controlled by the dean’s office and may be held in the Library’s Institutional repository. Data and research records may be released to the Pl after they leave the institution with approval from the dean and the vice president for research. |
|  | External regulatory compliance correspondence and support records of compliance pertinent to an approved research protocol. | Pertains to records generated by and for IRB, IACUC and other research regulatory committees | 7 years after the end of the contract/grant termination or performance period end date, unless longer period is specified under the agreement or by federal regulations. | These records are held by the cognate committee and controlled by the Director of Research Compliance and the Vice President for Research. |
| Registrar | Drop/add request | Drop/add requests | 3 years | Registrar |
|  | Requests for Audit, S/U, Competency | Audit, S/U, Competency Requests | 3 years | Registrar |
| Change of grade form | Change of grade form | 7 years | Registrar |
| Confidential Requests | Requests for confidentiality forms | Permanent | Registrar |
| Student person updates/changes (Name, SSN, DOB, and Gender) | Documentation that supports student person record update | Permanent | Registrar |
| Repeat course request form | Request to repeat a course | 1 year | Registrar |
| Student folders/graduate |  |  |  |
| 1. Regular (not graduated) | Student record data imaged in BDM | 7 years post -date of last activity | Registrar |
| 1. Petitions of Exceptions | Student Record Data | 7 years post -date of last activity | Registrar |
| 1. Student deceased | Student record data | 7 years post -date of last activity | Registrar |
| 1. Graduated students | Student record data | 7 years post -date of last activity | Registrar |
|  | Transcript request forms and letters | Transcript request forms | 1 year | Registrar |
| Graduation Denial Letters | Letters to students denied graduation | Permanent | Registrar |
| Commencement Program | Commencement program | Permanent | Library |
| Graduation lists (final) |  |  |  |
| 1. Undergraduate | Final graduation list | Permanent | Registrar |
| 1. Graduate | Final graduation list | Permanent | Registrar/Graduate Education/SOM |
| Graduation audits (undergraduate students) | Final graduation audits | 3 years | Registrar |
| Strategic Planning | Contracts | Legal documentation describing program, cost, payment, details such as SOW | 7 years | PACE |
| Program review | Results from regular program | 7 years | PACE |
| Accreditation, certification, and internal and external assessment records | Accreditation documents (self-studies) and accreditation results. | Permanent | PACE |
| Affiliation agreements | Contracts with various businesses and organizations related to participant activities, program offerings, international, etc. | 7 years after last activity or termination | PACE |
| Curriculum documentation | Curriculum documentation at the department level | 7 years | PACE |
| Course syllabi | Syllabi from each course offered by the university. | 7 years | PACE |
| Faculty/instructor positions and search materials (recruiting) | Position Descriptions | 7 years after completion of search | Cornerstone |
| Faculty grades | Detailed grades (more than final grades) such as assignments, papers, quizzes, and tests. | Permanent | Banner or Destiny Cloud |
| Student files (Certificate and Certification completers) | Certificate documenting completion | Permanent | Banner, Destiny Cloud or PACE Electronic Acad CE Sharecrypt |
| Student files (CE Workshop and licensure updates) | Certificate documenting completion | 7 years | Banner or Destiny |
| Student evaluation forms | Participant course/module/program feedback | 7 years | PACE |
| Incomplete grades | Request by participant for additional time to complete course content | 1 year after assignment of permanent grade | Banner |
| Sign in sheets (Certificate and Certification completers). | Documentation of attendance via signature or login | Permanent | PACE |
| Sign in sheets (CE Workshop and licensure updates) | Documentation of attendance via signature or login | 7 years | PACE |
| Internship/practicum records | Documentation of liability/responsibility | 7 years | PACE |
| Evidence of academic dishonesty | Faculty initiated process documenting cheating | 7 years | PACE |
| Add/Drop Requests | Participant request to add or drop a course. | 3 years | PACE |
| Exception Requests | Participant drop request with refund based on inability to attend the course/program. | 7 years | PACE |
| School of Medicine | Program review | Results from regular program | Permanent | OU WB (Dean’s Office) |
| Accreditation, certification and internal and external assessment records | Accreditation documents (self-studies) and accreditation results. | Permanent | OU WB (Dean’s Office) |
| Affiliation agreements | Contracts with various businesses and organizations related to participant activities, program offerings, international, etc. | 7 years after last activity or termination | OU WB (Dean’s Office) |
| Curriculum documentation | Curriculum documentation at the department level. | 7 years | OUWB – Office of Medical Education |
| Course syllabi | Syllabi from each course offered by the School of Medicine | 7 years | OUWB – Office of Medical Education |
| Faculty positions and search materials (recruiting) | Position descriptions | 7 years after completion of search | OUWB – Faculty Affairs, PeopleAdmin |
| Sabbatical leave |  | 7 years after termination | OUWB – Faculty Affairs, SmartPath |
| Faculty Personnel Files (including faculty review) | Personnel files include change of statuses. | 7 years post termination | Dean’s Office, Faculty Affairs, SmartPath |
| Faculty Medical Records | Medical records for faculty | 30 years post termination | UNUM (UHR) |
| Part-time letter of Offer | Employment offer letter |  | Faculty Affairs, AHR (BDM) |
| Faculty grade books | Course grades (Labs, Tests, Quizzes) | 7 years | OUWB-Office of Medical Education |
| Student files | Paper admissions files and non-electronic records | 7 years after graduation or last activity | Student Information System – OASIS, Banner, Empower |
| Student evaluation forms | Course grade evaluations | Permanent | Student Information System – OASIS |
| Incomplete grades | Request for remediation and incomplete forms | 1 year after assignment of permanent grade | Student Information System – OASIS, Banner, Empower |
| “P” Grades | Student academic record | 1 year after assignment of permanent grade | N/A |
| Scholarship information | Scholarship descript, funding source, amount, criteria, awards/recipients | 5 years | OUWB – Business & Administration, OUWB, OUWB – Financial Services, AMP |
| Thesis |  | Permanent | N/A |
| Internship/practicum records |  | 7 years | OUWB-Records and Registration |
| Evidence of academic dishonesty | Academic Dishonesty claims | 7 years | Student Performance Review Committee (Empower) |
| Admissions files | Secondary application, application decision, letters of recommendation, personal statement | Permanent | AMP |
| Irregular Enrollment & Satisfactory Academic Progress records | Off-cycle enrollment and SAP notes | Permanent | Financial Aid OUWB Sharecrypt |
| Applications for emergency funding and decisions | Application/request for emergency fund and committee decision | Permanent | Financial Aid OUWB Sharecrypt |
| Documentation of FA advising/consultation | Financial aid advising notes | Permanent | Empower |
| Student immunization records | Immunization records |  | Graham Health |
| Global Engagement | Immigration Records and Details | Visa/Employment/Immigra-tion | 10 years after student leaves university | Office of Global Engagement-Electronically |
| Study Abroad Transcripts | Transcripts from overseas schools | 3 years post-graduation | Office of Global Engagement-Electronically |
| International Agreements | Academic agreements | See affiliations agreements above | Office of Global Engagement - Electronically |

**END OF REVISED AA Notes**