

## **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**

Title and Description	Duration	Official Repository
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
Vice Presidential Automobile 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
		ROD

Inventory records	No official requirement	
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

Title and Description	Duration	Official Repository
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

#### 2. VICE PRESIDENT FOR GOVERNMENT RELATIONS

Title and Description	Duration	Official Repository
Capital Outlay Requests	Current year	Government Relations
Copies of appropriation acts and other legislation of interest to Oakland University	Permanent	Government Relations

### 3. VICE PRESIDENT FOR LEGAL AFFAIRS/SECRETARY TO THE BOARD OF TRUSTEES

Title and Description	Duration	Official Repository
<b><u>Board of Trustees</u></b> Agendum items, minutes of meetings, backup materials, and related correspondence, Board Actions	Permanent	Office of Legal Affairs
<b><u>General Counsel</u></b> Bankruptcy records	7 years after date of last activity	Office of Legal Affairs
Draft contracts, 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	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, 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 Finance & Administration
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		Office of Legal Affairs
Immigration		Office of Legal Affairs

### 4. OFFICE OF INCLUSION AND INTERCULTURAL INITIATIVES

Title and Description	Duration	Official Repository
Affirmative Action Plan	Permanent	Office of Inclusion and Intercultural Initiatives

Utilization Analysis	3 years	Office of Inclusion and Intercultural Initiatives
Biannual EEO-6 Report	Permanent	Office of Inclusion and Intercultural Initiatives
Grievances/discrimination-complaints	7 years	Office of Inclusion and Intercultural Initiatives
Compliance review	Until revised/replaced	Office of Inclusion and Intercultural Initiatives
ADA-program records	7 years	Office of Inclusion and Intercultural Initiatives
Decisions on Undue Burden, Fundamental Alterations, etc.	Permanent	Office of Inclusion and Intercultural Initiatives
Committee records - minutes and related records pertaining to official Office of Equity Committees	Permanent	Office of Inclusion and Intercultural Initiatives
Complaints - student/staff	7 years	Office of Inclusion and Intercultural Initiatives
Scholarship recipient counseling records	7 years	Office of Inclusion and Intercultural Initiatives

## 5. ATHLETICS

Title and Description	Duration	Official Repository
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
Eligibility forms	5 years	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

## 6. COMMUNICATIONS AND MARKETING

Title and Description	Duration	Official Repository
News releases	Permanent	Communications & Marketing
Faculty/AP biography files	Permanent	Communications & Marketing
Photo negatives	Permanent	Communications & Marketing
Photos	Variable based on subject	Communications & Marketing
		Communications & Marketing

Title and Description	Duration	Official Repository
Samples: Publications, videos, advertisement, central web pages	5 years, then to archives	

## 7. INTERNAL AUDIT

Title and Description	Duration	Official Repository
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

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

### 2. BUDGET & FINANCIAL PLANNING

Title and Description	Duration	Official Repository
<u>Operating and Capital Budget Records-Housed in Fac Mgmt</u> a. Budgets approved by Board of Trustees b. Original allocations c. Budget revisions	7 years–University Archives 4 years after fiscal year-end 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

### 3. FACILITIES MANAGEMENT

#### American with Disabilities Act

Title and Description	Duration	Office Repository
Correspondence received/originated	3 years	Engineering
Transition plan	Until superseded	Engineering
Self evaluation	Until superseded	Engineering
Complaints and accommodation requests	7 years	Engineering

**Construction**

Title and Description	Duration	Official Repository
Construction project files/warranties	10 years	Capital Planning & Design and Engineering
Construction projects - "as built"	Permanent	Capital Planning & Design and Engineering
Renovation project files	10 years	Capital Planning & Design and Engineering
Renovation projects - "as built"	Permanent	Capital Planning & Design and Engineering
Capital Outlay Requests	3 years	Capital Planning & Design

**Facilities Management Operations**

Title and Description	Duration	Official Repository
<u>Employee Time Cards and Sheets</u> a. Staff b. 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
<u>Reports - Paperwork</u> a. Audit reports b. Inventory Value (Monthly) c. Usage/Usage Summary (Monthly)	3 years 1 year 3 years	Business Office

**Facilities Management Purchasing**

Title and Description	Duration	Official Repository
Bid and Quotes (and related records)	7 years	Purchasing
E&I Cooperative contracts	7 years from termination	Purchasing
University Vehicles - Purchase, lease...		Purchasing



#### 4. CONTROLLER

Title and Description	Duration	Official Repository
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
<u>Legal Records</u> 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
1098-T Tuition Statement (OMB No. 1545-1574)	Three years plus current fiscal Year	Student Business Services
Authorization for students (paper form): <ul style="list-style-type: none"> <li>• Direct deposit authorizations</li> <li>• Financial Aid Payment and Disbursement Authorization</li> <li>• SpiritCard Discontinuance Authorization</li> <li>• Parent PLUS Authorization</li> </ul>	Two years after student no longer enrolled and all financial obligations to University 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 31 <sup>st</sup> )	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	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
Depreciable Property Acquisition Records	Until property is sold and then the retention period for the year in which the return was filed	Controller

#### Accounting

	Official Repository
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Title and Description	Duration	
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**

Title and Description	Duration	Official Repository
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	5years	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
Employee File—includes retirement system information (except the plan selection record), personnel transaction form, salary letters, faculty/staff transmittals <ul style="list-style-type: none"> <li>a. Active</li> <li>b. Terminated</li> <li>c. Retired</li> <li>d. Deceased</li> </ul>	<ul style="list-style-type: none"> <li>Until terminated</li> <li>7 years post date of last activity</li> <li>7 years post date of last activity</li> <li>7 years post date of last activity</li> </ul>	UHR and/or Academic HR
Employee File—Retirement plan record	3 years after retirement, death or	UHR

	until person reaches 70 years old	
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## 5. ENVIRONMENTAL HEALTH & SAFETY and LABORATORY SAFETY

Title and Description	Duration	Official Repository
EH&S Compliance (i.e., 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, local)	Until superseded 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
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
		Environmental Health & Safety

Medical Waste (Internal and External Manifests)	Permanent	
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

## 6. UNIVERSITY HUMAN RESOURCES

### University Human Resources

Title and Description	Duration	Official Repository
Arbitration awards	Permanent	UHR
Arbitration (briefs, exhibits, transcripts/notes and grievances)	10 years	UHR
Bargaining notes and proposals	10 years	UHR

Disciplinary	7 years after termination	UHR
Unemployment compensation	7 years after last date of activity	UHR

### **Benefits**

Title and Description	Duration	Official Repository
Employee enrollment records (excluding life insurance)	7 years from the date insurance terminates	UHR
Maximum calculations	7 years	UHR
Insurance plan records	7 years past termination of plan	UHR
Life insurance enrollment records (absent proof of death)	13 years from last activity	UHR
Insurance policies/contracts	7 years after expiration	UHR
Claim runs	10 years	UHR
Tuition waivers	7 years	UHR
Sick bank records	10 years from last activity (CT and AP Sick Banks)	UHR
Retirement contribution reports	Permanent	UHR
Insurance payment reports (employee rather than institutional payments)	7 years	UHR
Fund ledgers with corresponding reconciliation for all insurance accounts	4 years	UHR
Terminated employees–benefit files (terminated employees does not include persons on long-term disability or retired persons)	7 years from date insurance ends	UHR

Former employees receiving long-term disability benefits and not participating in health plans	7 years from date insurance ends	UHR
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	UHR
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.	UHR

### **Compensation**

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

### **Employment**

Title and Description	Duration	Official Repository
Employment History—index cards	7 years post termination	UHR
Personnel files (containing no medical records)	7 years post termination	UHR
Medical records (keep separate from personnel files)	30 years post termination	UHR
I-9 forms	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 Applications—not employed	3 years from the date on which the hiring decision is made	UHR
<u>Skill test results</u>		UHR

a. Internal employees b. External candidates	See personnel file 1 year	
Personnel files of persons working in office	7 years post termination	UHR

### **Worker's Compensation**

Title and Description	Duration	Official Repository
Licenses and permits	Permanent	UHR
Medical records/case files	30 years post termination	UHR
Claim files—closed	7 years post termination	UHR

## **7. UNIVERSITY SERVICES**

### **Mailroom**

Title and Description	Duration	Official Repository
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
<u>Management Reports</u> a. Meter money spent b. Final edited monthly printout	1 year and current fiscal year 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**

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

### **Property Management**

Title and Description	Duration	Official Repository
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

### **8. OAKLAND UNIVERSITY POLICE DEPARTMENT**

Title and Description	Duration	Official Repository
Laboratory Chemical Inventories	Most current	Police Department

### **9. RISK MANAGEMENT**

Title and Description	Duration	Official Repository
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
Title and Description	Duration	Official Repository



**OAKLAND UNIVERSITY RECORD RETENTION  
PROCEDURES**

**UNIVERSITY RELATIONS DIVISION**

**1. VICE PRESIDENT'S OF UNIVERSITY RELATIONS**

Title and Description	Duration	Official Repository
Biographical records	Permanent	University Relations
Gift histories	Permanent	University Relations
Donor files	Permanent	University Relations

**2. ALUMNI RELATIONS**

**Files**

Title and Description	Duration	Official Repository
Corporate	Permanent	University Relations
Biographical	Permanent	University Relations
Obituaries	Permanent	University Relations
Campaign	Permanent	University Relations
Scholarship	Permanent	University Relations
Loan Fund	Permanent	University Relations
Endowment	Permanent	University Relations
Estate Planning	Permanent	University Relations
Matching Gift Companies	Permanent	University Relations
Board, Committees, etc.	Permanent	University Relations
Annual Report	Permanent	University Relations

**Receipts, Reports and Forms**

Title and Description	Duration	Official Repository
<u>Monthly Report</u> a. July-May b. June	2 years Permanent	University Relations

## PROCEDURES

### STUDENT AFFAIRS AND ENROLLMENT MANAGEMENT DIVISION

#### 1. VICE PRESIDENT FOR STUDENT AFFAIRS AND ENROLLMENT MANAGEMENT OFFICE

Title and Description	Duration	Official Repository
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

Title and Description	Duration	Official Repository
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
Disciplinary files involving: a. minors b. students who may be deemed "insane" c. fraudulent concealment	6 years after minor has turned 19 Indefinite Indefinite, or 2 years after the existence of the claim has been discovered.	Dean of Students
Students permanently expelled	Permanent	Dean of Students

### 3. ACADEMIC SKILLS CENTER

#### Student Records

Title and Description	Duration	Official Repository
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

Title and Description	Duration	Official Repository
Annual Reports	Permanent	Academic Affairs

#### Records

Title and Description	Duration	Official Repository
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

Title and Description	Duration	Official Repository
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
		TBD

Title and Description	Duration	Official Repository
OU Post - daily edition	1 year	
Orientation Materials–FTIAC, Transfer and Parent a. Registration cards b. Rosters c. Notebooks	2 years 3 years 5 years	New Student Programs
Reports a. Annual report b. Orientation/enrollment statistics	Permanent 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

Title and Description	Duration	Official Repository
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

Title and Description	Duration	Official Repository
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

Title and Description	Duration	Official Repository
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

Title and Description	Duration	Official Repository
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

Title and Description	Duration	Official Repository
Appointment books	3 years	Graham Health Center
Patient register	Permanent	Graham Health Center
Non-employee medical record - for patients age 14 years or older	10 years from last date of service (can be microfilmed after 3 years)*	Graham Health Center
Non-employee medical record - for patients age 13 or under	Until patient turns 15 years old plus 3 years*	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)

Title and Description	Duration	Official Repository
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**

Title and Description	Duration	Official Repository
Workers' Compensation	Permanent	Graham Health Center
Student health insurance	7 years	Graham Health Center

## **9. COUNSELING CENTER**

Title and Description	Duration	Official Repository
Client records	15 years from last date of service	Counseling Center
Billing records	4 years	Counseling Center
Committee records	Permanent	Counseling Center
<u>Confidential materials</u> a. Test results b. Case notes	3 years 3 years from last date of service	Counseling Center

## **10. DISABILITY SUPPORT SERVICES**

Title and Description	Duration	Official Repository
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**

Title and Description	Duration	Official Repository
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 carries with program	Financial Aid

	(more than 10 years)	
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### **Student Employment**

Title and Description	Duration	Official Repository
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**

Title and Description	Duration	Official Repository
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**

Title and Description	Duration	Official Repository
<u>Correspondence</u> a. Employer's b. General c. Registrants	3 years 3 years 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
<u>On Campus Interview</u> a. Master recruiting calendar b. Schedules c. Employer evaluation forms	1 year 3 years 3 years	Career Services
Referral records	3 years	Career Services
Employment surveys	Permanent	Career Services

### 13. PROJECT UPWARD BOUND

Title and Description	Duration	Official Repository
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

Title and Description	Duration	
<u>Employer file</u> a. Active b. Inactive	Permanent 3 years after date of last activity	Co-op Office
<u>Applicant file</u> 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



Title and Description	Duration	Official Repository
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

Title and Description	Duration	Official Repository
Course records	5 years	Special Programs
Confidential materials	Permanent	Special Programs
Grade books/grade lists	5 years	Special Programs

#### 15. RECREATION CENTER

##### Intramural Sports

Title and Description	Duration	Official Repository
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

#### 16. UNIVERSITY HOUSING

Title and Description	Duration	Official Repository
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
<u>Summer Conferences</u> a. Registration cards b. Receipt books	7 years 7 years	Housing
ADA concerns	7 years	Housing

##### Meadow Brook Subdivision

Title and Description	Duration	Official Repository
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

## OAKLAND UNIVERSITY RECORD RETENTION PROCEDURES

### ACADEMIC AFFAIRS DIVISION

#### 11. SENIOR VICE PRESIDENT OF ACADEMIC AFFAIRS AND PROVOST

Title and Description	Duration	Official Repository
Graduate and honors lists	5 years	Academic Affairs
Tenure Review Committee	Permanent	Academic Affairs
University Senate minutes and support	Permanent	Academic Affairs

## 2. ACADEMIC DEPARTMENTS

### General Records

Title and Description	Duration	Official Repository
Program review	Permanent	TBD
Accreditation, certification and internal and external assessment records	Permanent	TBD
Affiliation agreements	7 years after last activity or termination	TBD
Curriculum documentation	7 years	TBD
Course syllabi	7 years	TBD
Faculty positions and search materials (recruiting)	7 years after completion of search	TBD
Sabbatical leave	7 years after termination	TBD
Faculty grade books	7 years	TBD
Student files	7 years after graduation or last activity	TBD
Student evaluation forms	Permanent	TBD
Incomplete grades	1 year after assignment of permanent grade	TBD
"P" grades	1 years after assignment of permanent grade	TBD
Scholarship information	5 years	TBD
Thesis	Permanent	TBD
Internship/practiccum records	7 years	TBD
Evidence of academic dishonesty	7 years	TBD

### 3. ACADEMIC HUMAN RESOURCES

Title and Description	Duration	Official Repository
Sabbatical leave applications and reports	4 years after termination	AHR
Faculty personnel files, including faculty review dossiers (containing no medical records.)	7 years post termination (once tenured, pre-tenured dossiers should be discarded).	AHR
Medical Records (keep separate from Personnel files)	30 years post termination	AHR
I-9 Forms	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 notebook.	AHR
Employment forms a. Lecturers b. Researchers	7 years post termination	AHR
Copies of resumes/vitate for potential faculty in academic departments	1 year	AHR
Instructor contract file	7 years from date of termination	AHR
Employment applications-not employed	3 years from date on which the hiring decision is made	AHR
Search Committee records	7 years from date of termination	AHR
Bargaining Records	Permanent	AHR
Grievance Records	Permanent	AHR
Arbitration Awards	Permanent	AHR
Arbitration/records (briefs, exhibits, transcripts/notes and grievances	10 years	AHR
Sabbatical leave applications and reports	4 years after termination	AHR

### 4. HONORS COLLEGE

Title and Description	Duration	Official Repository
<u>Honors student folders:</u> Honors application, scholarship information, correspondence, class/grade records, graduation information	7 years post termination	Honors College
<u>Honors course information/folders:</u> Class lists, grade lists, honors contract, course syllabi, enrollment statistics	7 years post termination	Honors College

### 5. INSTRUCTIONAL TECHNOLOGY CENTER

Title and Description	Duration	
ITC materials requests	3 years	TBD

## 6. KRESGE LIBRARY

### Purchase Orders

Title and Description	Duration	Official Repository
Books	7 years from termination or expiration of last service order	Kresge Library
Serials	7 years from termination or expiration of last service order	Kresge Library

### Library Access Services

Title and Description	Duration	Official Repository
Circulation bill and fine records*	Paid - 2 years Unpaid - indefinitely if \$1 or more 2 years if less than \$1	Kresge Library
Reserve material lists submitted by professors	5 years	Kresge Library
Interlibrary loan transaction records	2 years	Kresge Library
Interlibrary loan invoices	4 years	Kresge Library
Interlibrary loan reciprocal borrowing agreements	7 years after expiration	Kresge Library

\* Machine readable records kept in Dalnet Files by Wayne State University.

## 7. LEARNING RESOURCES

Title and Description	Duration	Official Repository
Scholarship Students' Files	2 years from date of graduation	Learning Resources
Non-Scholarship Students' Files	5 years or until completion of degree	Learning Resources

## 8. OFFICE OF GRADUATE STUDY

Title and Description	Duration	Official Repository
Students who are admitted and enrolled	7 years from date of last activity	Graduate Study
Students who are admitted and do not enroll	18 months	Graduate Study
Students who do not complete the admission process	18 months	Graduate Study
		Graduate Study

Students denied	3 years	
Students dismissed	7 years	Graduate Study
Students in delay status	3 years	Graduate Study
Master's thesis	Permanent	Graduate Study
Doctoral dissertation	Permanent	Graduate Study
Graduation audits (graduate students)	3 years	Graduate Study
Employment forms - graduate assistants	7 years post termination	Graduate Study
<u>Student folders/graduate</u> a. Regular (not graduated) b. Specials and guests c. Student deceased d. Graduated students	7 years post date of last activity 7 years post date of last activity 7 years post date of last activity 7 years post date of last activity	Graduate Study

## 9. OFFICE OF GRANTS, CONTRACTS AND SPONSORED RESEARCH

Title and Description	Duration	Official Repository
Federal funded grant proposals and agreements.	3 years after federal grant termination or submission and acceptance of all final reporting requirements , unless longer period is specified under the agreement.	Grants, Contracts & Sponsored Research
Internally funded grants	3 years after the performance period end date.	Grants, Contracts & Sponsored Research
Institutional Review Board committee records, including records of FDA regulated research	3 years after termination and/or closing of protocol.	Grants, Contracts & Sponsored Research
Institutional animal care and use committee records	3 years after termination of study and/or closing of protocol.	Grants, Contracts & Sponsored Research
Copyrights	Permanent	Grants, Contracts & Sponsored Research
Patents	17 years after issuance of patent	Grants, Contracts & Sponsored Research
DEA controlled substance records	Permanent	Grants, Contracts & Sponsored Research

## 10. OFFICES OF THE DEANS

Title and Description	Duration	Official Repository
Sabbatical leave applications and reports	4 years after termination	Dean's Office
Accreditation records	Permanent	Dean's Office

Title and Description	Duration	Official Repository
Investigation backup materials for proven cases of wrongdoing (student papers, faculty grade books)	7 years after separation	Dean's Office
Scholarship information	5 years	Dean's Office
Course syllabi	3 years	Dean's Office
Grants—funded a. Proposal  b. Data/Final Reports	3 years from submission of last expenditure report 3 years from submission of last expenditure report	Dean's Office

## 11. RESEARCH RECORDS

Title and Description	Duration	Official Repository
Record of data or results in any form that embodies the facts resulting from scientific inquiry and enables replication of the research results	7 years after the end of the contract/grant termination or performance period end date, unless longer period is specified under the agreement.	On behalf of the university, research records are maintained in the academic unit, laboratory or dean's office in the case of a faculty member leaving the university. Copies of research records may be provided with permission of the dean and the vice provost for research.
External regulatory compliance correspondence and support records of compliance pertinent to an approved research protocol..	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.	On behalf of the university, external regulatory compliance records are maintained in the academic unit, laboratory or dean's office in the case of a faculty member leaving the university. Copies of regulatory compliance records may be obtained through the vice provost for research.

## 12. REGISTRAR

### Registration Area

Title and Description	Duration	Official Repository
Class schedule (corrected)	7 years	Registrar
Drop/add request cards (corrected)	3 years	Registrar
Final section summary by semester	20 years	Registrar

### Records Area



Title and Description	Duration	Official Repository
Approval to audit card	3 years	Registrar
Change of grade card	7 years	Registrar
Credit/no credit request card	3 years	Registrar
Final class lists	7 years	Registrar
Removal of incomplete or deferred grade card	1 year, microfilm	Registrar
Repeat course request card	1 year	Registrar
<u>Student folders/undergraduate</u> a. Regular (not graduated) b. Specials and guests c. Student deceased d. Graduated students	7 years post date of last activity 7 years post date of last activity 7 years post date of last activity 7 years post date of last activity	TBD
Transcript request forms and letters	6 months	Registrar
Athletic eligibility rosters	5 years after participation	Registrar
Graduation applications	3 years	Registrar

#### **Registrar's Area Printouts**

Title and Description	Duration	Official Repository
Alpha listing of registered students	2 years	Registrar
Worksheets for statistical reports and printouts (headcounts, semester hours, geographic, ethnic, etc.)	2 years	Registrar

#### **Publications, Reports, Minutes**

Title and Description	Duration	Official Repository
Commencement program	Permanent	Registrar
Bulletins-undergraduate and graduate (2 copies each)	Permanent	Registrar
<u>Graduation lists (final)</u> a. Undergraduate b. Graduate	Permanent Permanent	Registrar
Graduation audits (undergraduate students)	3 years	Registrar
Subpoena (OU as nonparty custodian of transcripts) and supporting	7 years from date of subpoena	Registrar

Title and Description	Duration	Official Repository
documentation		