



## **University Policy: Records Retention and Disposal**

**Policy Category:** Operational Policies

**Subject:** Retention, maintenance, and disposal of official university records

**Office Responsible for Review of this Policy:** Office of Finance and Treasurer

**Procedures:** American University Records Retention Schedule

**Related University Policies:**

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### **I. SCOPE**

This policy addresses the retention and disposal of the university's hard copy and electronic files and records, and applies to all university departments.

### **II. POLICY STATEMENT**

American University requires records retention and disposal to be a standardized process. Access, maintenance, retention, and disposal procedures for university records must be followed by staff in designated official repositories.

In addition, duplicate or multiple copies of these records, retained in locations other than official repositories, must also be properly disposed of when they are outdated and no longer useful.

This policy is intended to ensure that the university:

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- destroys outdated and useless records.

### **III. DEFINITIONS**

*Archival Record:* A record that is inactive; not required to be retained in the unit in which it originated or was received; and has permanent or historic value is considered an archival record. Archival records are retained and preserved indefinitely in the university archives.

*Active Record:* An active record is one with current administrative use for the unit that generated it. Records remain active for varying numbers of years, depending on the purpose for which they were created.

*Non-Record:* Records that are not considered university records include, but are not limited to; extra copies of original documents and publications kept only for convenience or reference, and blank forms.

*Official Repository:* The unit designated as having responsibility for retention and timely destruction of particular types of official university records. Such responsibility is assigned to the head of the unit or a designee.

*Originating Department:* The unit in which an original document was generated or received is considered the originating department.

*University Archives:* A component of the university library that promotes knowledge and understanding of the university's origins, aims, programs, and goals; and facilitates effective records management. This includes permanent retention of official records and reports of the university, its officers and component parts; maps and architectural records; audiovisual materials including still photographs and negatives, motion picture film, oral history interviews, audio and video tapes; and artifacts and ephemera documenting the university's history.

*University Archivist:* The individual responsible for 1) designing which official university records are archival; and 2) effecting the transfer of archival records from the unit in which they originated or were received to the university archives at such time and in the manner and form prescribed by the archives and subject to the appropriate retention and disposition schedules that are outlined in the university's records retention schedule.

*University Record:* The original copy of any record created or received in the course of university business, including, but not limited to; paper, e-mail, any type of electronic file or data, still photographs, motion pictures, minutes, agendas, policies, procedures, maps, drawings, plans/blueprints, any digitized magnetic tape, course syllabi, programs of campus events, video recordings etc.. Official repositories for these records are identified in the university's records retention schedule. University records are the property of the university and not of the officers, faculty members, or employees who create them or to whom they are entrusted.

## **IV. POLICY**

### **A. Managing Official University Records**

Since no one person or unit can be directly responsible for all campus records and files, users throughout the community share in the task of adhering to the retention and disposal policy. Units that maintain university records are called "official repositories." They are

responsible for establishing appropriate record retention management practices. Official records should be stored consistently within the unit in a manner that provides protection against misuse, misplacement, damage, destruction, or theft. Each official repository's administrative manager or a designee must:

- implement the unit's record management practices;
- ensure these management practices are consistent with the policy;
- educate the staff within the unit in understanding sound record management practices;
- ensure that records are retained in a readable format regardless of changes in technology or equipment obsolescence by 1) printing out the documents and saving to a file system, 2) maintaining the old equipment and software applications, or 3) migrating the records to a new technology;
- preserve inactive records of historic value, consult with university archivist and transfer those records to the university archives;
- destroy inactive records that have no archival value upon passage of the applicable retention period;
- ensure access to confidential files is restricted;
- ensure that outside vendors used for record storage follow the university's record retention policy.

The university's Records Retention Schedule lists the official repositories for university records as well as how long these records must be retained. Units that are not official repositories but retain duplicate or multiple copies of these university records should dispose of them when they are no longer useful.

[NOTE: In the event of a pending or expected lawsuit, claim, audit, program review or administrative charge, all relevant records, regardless of physical format, including e-mails, must be preserved and safeguarded until the litigation or proceeding has terminated and the time for all appeals has expired. You should contact the Office of General Counsel immediately if you have questions about this note.]

## **B. Preserving or Disposing of Official University Records**

When permanent records become inactive, consult with the university archivist to determine if records should be transferred to the university archives, as an archival record, or permanently maintained in the unit where it originated or was received.

- a. Permanent Records—Archival records may be transferred to the university archives when they become inactive. Call the university archives to:
  - Request records transmittal form from university archives
  - Upon approval of university archivist, transfer boxes to university archives
  - Permanent records that are not archival should be maintained within the control of the originating department.

b. All Other Records—If you have determined that it is appropriate to dispose of the records, destroy them in one of the following ways:

- Recycle non-confidential paper records
- Shred confidential paper records
- Delete all e-mails that are more than two years old, unless they are official university records.

● **Caution:** Periodically review records that were generated and maintained in university information systems or equipment to ensure that these requirements are met.

### C. Disposing of Electronic Records

The guidelines below are designed to ensure the proper disposal of all American University information on electronic devices or media in a manner that prevents inadvertent loss or disclosure. Steps must be taken so that AU information is not recoverable by conventional methods. Proper disposal of AU information and licensed software on electronic devices and media is also governed by other AU policies and applicable law. In addition, proprietary information may also be subject to the terms of sponsored research agreements, non-disclosure agreements, or license agreements. Unit administrators are responsible for making sure that the following guidelines are followed. Administrators may choose to contact the Office of Information Technology for additional assistance.

- The information on any computer hard drive, cell phone, Blackberry, or other electronic device must be erased and not recoverable before the equipment is reassigned within a unit. (Consult with IT for further information.)
- Outdated or broken computer equipment or other electronic devices cannot be discarded in dumpsters or regular trash containers.
- Electronic equipment, as described below, can be disposed of by calling x2349 to arrange pickup. Information contained within the equipment will be erased as necessary by AU's contracted disposal vendor.
- Any other electronic media record in a format not mentioned in the NOTE section below should be rendered unreadable by any other appropriate means (e.g., CD-ROM media, tape media, diskettes and zip disks, etc.).

NOTE: The university's outside vendor accepts the following for disposal or recycling: computer equipment, circuit boards, mainframes/servers, test equipment, connectors, cords, wire, fax machines, modems, audio/visual equipment, communication systems, printers, monitors, hard/floppy drives, memory, tape drives, laptops, bar coding equipment, cell phones, CD ROM drives, motherboards, plotters/copiers, PDAs, calculators, cameras, network/video/sound cards.

*This policy and the associated retention schedule were developed after reviewing various record retention policies and schedules from leading universities and other authorities. They were then customized to reflect best practices at AU.*

*While the policy and schedule identify many of the records generated and retained throughout the university, they cannot cover every situation or anticipate future additions and modifications. Therefore, these are to be considered "living documents" that will be modified or changed as needed. They will be reviewed on an annual basis for corrections and to ensure compliance with current laws and regulations. You are encouraged to submit your suggestions for improvements to [pat@american.edu](mailto:pat@american.edu).*

## **V. EFFECTIVE DATE AND APPROVAL**

This Policy is effective November 1, 2006.

This policy needs to be signed by the appropriate officer (listed below) before it is considered approved.

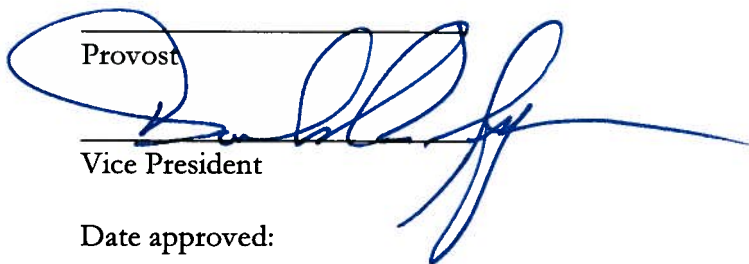
Approved:

\_\_\_\_\_  
President

\_\_\_\_\_  
Provost

\_\_\_\_\_  
Vice President

Date approved:

A handwritten signature in blue ink is written over the signature lines for the Provost and Vice President. The signature is cursive and extends across the lines for both positions.

# American University

## Records Retention Schedule

Division	Originating Department	Type of Record	Official Repository	Duration
<i>Campus Life</i>				
	Academic Support Center	Educational Counseling Records (paper)	Academic Support Center	7 years after last contact
	Academic Support Center	Disability Records (paper)	Academic Support Center	7 years after last contact
	Academic Support Center	Student Contact Information database	Academic Support Center	7 years after last contact
	Counseling Center	Counseling Records and database	Counseling Center	7 years after last contact
	Dean of Students	Significant Student Issue Forms	Dean of Students	5 years after last contact
	Dean of Students	Student Handbook Text	Dean of Students	Permanent
	Dean of Students	Student Recommendations	Dean of Students	10 years after graduation
	Disability Support Services	Student Records	Disability Support Services	7 years after last contact
	GLBTA Resource Center	Award Recipients	GLBTA Resource Center	Permanent
	Housing & Dining Programs	ID Card Replacement Form/Billing	Housing & Dining Programs	1 year
	Housing & Dining Programs	Incident Forms/Judicial Action Taken	Housing & Dining Programs	1 year after sanction complete
	Housing & Dining Programs	Incident Forms/No Judicial Action Taken	Housing & Dining Programs	End of academic year
	Housing & Dining Programs	Room Inventory Forms and/or Damage Billing	Housing & Dining Programs	1 year
	Housing & Dining Programs	Room Inventory Forms/No Billing	Housing & Dining Programs	End of academic year
	Housing & Dining Programs	Park Bethesda Leases	Housing & Dining Programs	1 year
	Housing & Dining Programs	Health & Safety Inspection Forms	Housing & Dining Programs	1 year
	Housing & Dining Programs	Housing Applications	Housing & Dining Programs	1 year
	Housing & Dining Programs	Meal Plan Enrollments and/or Change Forms	Housing & Dining Programs	1 year
	Housing & Dining Programs	Housing & Meal Plan Termination Form	Housing & Dining Programs	1 year
	Housing & Dining Programs	Student Housing Agreements	Housing & Dining Programs	3 years after expiration of agreement
	Housing & Dining Programs	Student Housing Registration Cards/Billing	Housing & Dining Programs	1 year
	Housing & Dining Programs	Student Housing Registration Cards/No Billing	Housing & Dining Programs	End of academic year
	Housing & Dining Programs	Student staff personnel records	Human Resources	6 years after termination
	Inter. Student & Scholar Svcs.	International Student Immigration Records for students who matriculate	Inter. Student & Scholar Svcs.	7 years after last enrollment; 1 year for students who are issued documents but do not enroll
	Judicial Affairs & Mediation Svcs.	Disciplinary Records (paper & electronic)	Judicial Affairs & Mediation Svcs.	7 years after last contact; suspensions and dismissals: permanent
	Kay Spiritual Life Center	Contributing Faith Chaplains	Kay Spiritual Life Center	Permanent
	Kay Spiritual Life Center	Facility Use Records	Kay Spiritual Life Center	3 years
	Multicultural Affairs	Frederick Douglas Scholar Rosters	Multicultural Affairs	Permanent
	Multicultural Affairs	STEP Rosters	Multicultural Affairs	Permanent
	Multicultural Affairs	LIFT Rosters	Multicultural Affairs	Permanent
	Multicultural Affairs	HI-SCIP Rosters	Multicultural Affairs	Permanent
	Multicultural Affairs	Award Ricipients	Multicultural Affairs	Permanent

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## Records Retention Schedule

	Student Activities	Registered Student Organizations	Student Activities	Permanent
	Student Activities	AUTO Records	UG Student Government	5 years
	Student Health Center	Medical Records	Student Health Center	7 years after graduation
	Student Health Center	Staff Licensure	Student Health Center	Duration of employment
	Student Health Center	Daily Transaction Records	Student Health Center	5 years
	Student Health Center	Appointment Database	Student Health Center	7 years after graduation
	University Center	Non-instructional Room Scheduling	University Center	1 year
	VP of Campus Life	Student Recommendations	VP of Campus Life	10 years after graduation
<b><i>Finance &amp; Treasurer</i></b>				
	Controller	Accounts Aging	Controller	20 years for year-ending listing
	Controller	Account Reconciliation (balance sheet)	Controller	6 years
	Controller	Accounts Payable Vouchers (attachments, claims, disbursements, expenses)	Controller	6 years
	Controller	Procurement Card Charge Documentation	Controller	6 years
	Controller	Accounts Receivable Statements (centrally generated)	Controller	6 years
	Controller	Accounts Receivable Write-offs	Controller	Permanent
	Controller	Accounting Reports (monthly reports, schedule department balances, transaction statements, account analysis, monthly and year-to-date salary and wage statements)	Controller	20 years
	Controller	Account Request Documentation (new accounts)	Controller	3 years after account becomes inactive
	Controller/Originating Units	Agreements and Contracts	Controller	6 years after expiration date
	Controller	Annual Financial Reports and Work Papers	Controller	Permanent
	Controller	Athletic Event Cash Reconciliation	Controller	4 years
	Controller	Banking Records (deposit and withdrawal records, bank statements & reconciliation, voided & cancelled checks)	Controller	6 years
	Controller	Capital Equipment Records	Controller	Life of asset - records of equipment purchased by federal funds must be retained for 3 years after final disposition
	Controller	Cash Receipts	Controller	6 years
	Controller	Chart of Accounts	Controller	Permanent
	Controller	Depreciation Records	Controller	Life of asset
	Controller	Effort Certifications	Controller	6 years
	Controller	General Ledger Statements	Controller	5 years
	Controller	Grant and Contract Accounting Records	Controller	7 years after final financial form submitted
	Controller	Indirect Cost Rate Calculations	Controller	6 years
	Controller	Journal Entries and Back-Up	Controller	6 years
	Controller	Monthly Reconciliation of General Ledger	Controller	4 years

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## Records Retention Schedule

	Controller	New Account Records and Back-Up	Controller	6 years after account closing
	Controller	Paid Invoices	Controller	6 years
	Controller	Returned Checks	Controller	4 years
	Controller	Safe Keeping In Trust Accounts	Controller	4 years
	Controller	Subsidiary Ledger	Controller	6 years
	Controller	Summary Analysis Reports (end of year fund, source, function)	Controller	6 years
	Controller	Trial Balances	Controller	6 years
	Controller	Transaction Authority/Signature Cards	Controller	6 years after authority expires
	Controller	Travel Reimbursements and Attachments	Controller	6 years
	Controller	Equipment Inventory Transfer	Finance Office	7 years
	Controller	Vendor History Reports	Controller	2 years after superseded
	Controller	Purchase Orders	Controller	6 years
	Controller	Excise Tax Returns	Controller	6 years
	Controller	Fringe Benefit Tax Returns	Controller	6 years
	Controller	Income Tax Returns	Controller	Permanent
	Controller	Sales Tax Returns	Controller	6 years
	Controller	Pension Tax Returns	Controller	6 years
	Controller	Property Tax Returns Filed with Taxing Jurisdiction	Finance Office	6 years
	Facilities Management	Vehicle Inspection	Facilities Resource Center	4 years
	Facilities Management	Vehicle Records	Finance Office	4 years after disposal of vehicle
	Facilities Management	Utilities System Operating & Maintenance	Facilities Resource Center	Until equipment is no longer in service
	Facilities Management	Work Order Requests	Facilities Resource Center	4 years
	Internal and External Auditors	Audit Reports	Finance Office	Permanent
	Finance Office	AU's insurance policies	Finance Office	Permanent
	Finance Office	Documents for Licenses, Leases, Construction Contracts, and other Contracts	Finance Office	6 years after expiration
	Finance Office	Property Deeds, Easements, Rights of Way, Rights of First Refusal, Remainder Interests, Mortgages, all for current and former property	Archives	Permanent
	Finance Office	Title Insurance Policies	Finance Office	10 years after disposal of property
	Finance Office	Commercial Insurance Policies	Finance Office	Permanent
	Finance Office	Gift and Estate Agreements	Finance Office	Permanent
	Human Resources	Affirmative Action Programs and compliance records	Human Resources	2 years
	Human Resources	Conciliation Agreements/Consent Orders	Human Resources	Permanent
	Human Resources	Non-academic Search & Hiring Forms	Human Resources	3 years from date of hire
	Human Resources	Sexual Harassment Complaints (investigations and findings)	Human Resources	3 years from determination for no cause findings, permanent for cause findings

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	Human Resources	Changes to benefit plans--notice or reportable events	Human Resources	6 years
	Human Resources	Benefit plan termination	Human Resources	6 years
	Human Resources	Record of benefit premium payments	Human Resources	3 years
	Human Resources	Benefit Summary Plan Discriptions	Human Resources	6 years
	Human Resources	Benefit plans and all amendments	Human Resources	Permanent
	Human Resources	Federal reporting requirement--welfare benefits and other fringe benefit plans	Human Resources	Permanent
	Human Resources	FMLA Records	Human Resources	6 years from date of employment termination
	Human Resources	Benefits Policies & Procedures	Human Resources	Life of the program or contract plus 2 years
	Human Resources	Employee Personnel Files (including, application, resume, payroll/salary, appointment forms, position description, performance evaluations) Voluntary termination	Human Resources	6 years after voluntary termination
	Human Resources	Employee Personnel Files (including, application, resume, payroll/salary, appointment forms, position description, performance evaluations) Involuntary termination	Human Resources	Permanent
	Human Resources	Employee Policies & Procedures	Human Resources	Permanent
	Human Resources	Employment Verification Requests	Human Resources	3 years
	Human Resources	Requests for disability accommodation	Human Resources	7 years after voluntary/involuntary employment termination
	Human Resources	Staff Complaints (Formal)	Human Resources	3 years after settled
	Human Resources	Individual Employment Letters	Human Resources	6 years after termination
	Human Resources	HIPAA Documents	Human Resources	6 years from date of creation or date on which document was last effective (whichever is later)
	Originating Units	I-9 Forms	Human Resources	3 years or 1 year after termination
	Originating Units	Performance Appraisals	Human Resources	3 years after separation
	Originating Units	Accounts Receivable Statements	Originating Units	6 years
	Originating Units	Billing Records	Originating Units	6 years
	Originating Units	Collection Records	Originating Units	3 years after account is paid in full
	Originating Units	Fee Receipts	Originating Units	5 years
	Originating Units	Inventories	Originating Units	Life of asset
	Originating Units	Contracts, Leases, Agreements	Controller	6 years after expiration
	Originating Units	Professional Service Agreements	Originating Units	2 years
	Originating Units	Property Disposition	Originating Units	4 years

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## Records Retention Schedule

	Originating Units	H-1 & J-1 Visa Records	Originating Units	6 years after expiration of visa
	Originating Units	Invention Assignment Forms	Archives	Permanent
	Originating Units	Timesheets	Payroll Office	3 years
	Originating Units	Budget Submissions	Originating Units	6 years
	Payroll Office	Annual Payment Records (W2, alpha lists, employee transaction lists)	Payroll Office	15 years
	Payroll Office	Payroll Tax Returns (W-2, social security)	Payroll Office	15 years after the actual due date of the returns
	Payroll Office	Payroll unemployment tax (DC)	Payroll Office	7 years
	Payroll Office	Deduction Authorization	Payroll Office	4 years after authorization expires or is superseded
	Payroll Office	Imputed Income Records (auto usage)	Payroll Office	6 years
	Payroll Office	Information Returns Filed with Federal & State Authorities	Payroll Office	6 years
	Payroll Office	Leave Reporting Documents	Payroll Office	4 years
	Payroll Office	Payroll Adjustments	Payroll Office	5 years
	Payroll Office	Payroll Check Delivery	Payroll Office	3 years
	Payroll Office	Payroll Register	Payroll Office	6 years
	Payroll Office	Paycheck Register	Payroll Office	6 years
	Payroll Office	Payroll Advices (pay stubs)	Payroll Office	3 years
	Payroll Office	Record of Payments & Deductions (deduction & adjustment lists)	Payroll Office	5 years
	Payroll Office	Unclaimed Property Records (Name and Address Data)	Payroll Office	10 years
	Payroll Office	Tax Withholding Authorization	Payroll Office	5 years after authorization expires or is superseded
	Public Safety	Fire Alarm & Drill	Public Safety	3 years
	Public Safety	Accident Reports	Public Safety	4 years after report date
	Public Safety	Employee Acknowledgement of Safety Rules	Public Safety	4 years after employee separation
	Public Safety	Crime Reports	Public Safety	4 years after report date
	Public Safety	Identification Cards	Public Safety	2 years after last contract
	Public Safety	Inspection Cards	Public Safety	5 years
	Public Safety	Property Damage Reports	Finance Office	4 years after report date
	Public Safety	Vehicle Accident	Finance Office	4 years after report date
	Public Safety	DMV Lists	Public Safety	Until Superseded
	Public Safety	Key Issuance	Public Safety	2 years after key is returned
	Public Safety	Parking Citations	Public Safety	2 years after resolution
	Public Safety	Parking Permits	Public Safety	2 years
	Public Safety	Bicycle License/Registration	Public Safety	2 years
	Public Safety	Incident & Accident Reports	Public Safety	4 years after report date

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	Risk Management	Emergency Management and Business Continuity Plans	Finance Office	Permanent
	Risk Management	Historical Policies (executive correspondence, policy statements, directives)	Finance Office	Permanent
	Risk Management	Occupational Injury or Illness	Finance Office	5 years
	Risk Management	Worker's Compensation Claims	Finance Office	10 years
	Risk Management	Certificates of Insurance & Hold Harmless/Indemnification Agreements	Finance Office	6 years after expiration
	Risk Management	Insurance Policies	Finance Office	Permanent
	Risk Management	Driver Certification	Finance Office	3 years
	Risk Management	Asbestos	Finance Office	30 years after termination
	Risk Management	Evacuation Drill Records	Finance Office	5 years
	Risk Management	Fire Protection Systems Records	Finance Office	5 years
	Risk Management	Fume Hood Testing Records	Finance Office	3 years
	Risk Management	Hazardous Waste Disposal Manifests and Reports	Finance Office	3 years
	Risk Management	Incident Records	Finance Office	5 years
	Risk Management	Portable Extinguisher Training Records	Finance Office	3 years
	Risk Management	Chemical Incidents	Finance Office	40 years after incident
	Risk Management	Environmental Regulation Violations	Finance Office	10 years
	Risk Management	Legal action insurance records	Finance Office	10 years after resolution
	Risk Management	Settled claims	Finance Office	7 years after settled
	Student Accounts	Student Loan Records	Student Accounts	3 years after loan is paid in full
	Student Accounts	Tuition & Fee Charges	Student Accounts	6 years
	Telecommunications	ADC Vector	Telecommunications	2 years
	Telecommunications	Long Distance Code Authorizations	Telecommunications	2 years or until superseded
	Telecommunications	Telephone Complaints & Fraud	Telecommunications	5 years after resolution
	Treasury Operations	Account Documentation (signature cards, forms, etc.)	Treasury Operations	Permanent
	Treasury Operations	ACH Backup	Treasury Operations	2 years
	Treasury Operations	Bank Downloads and Statements	Treasury Operations	Current fiscal year + 1
	Treasury Operations	Daily Transfer Reports-Signatory Policy	Treasury Operations	7 years
	Treasury Operations	Dept. of Education Direct Loan Downloads and Backup	Treasury Operations	Permanent
	Treasury Operations	Endowment Custodial Bank Statements	Treasury Operations	2 years
	Treasury Operations	Endowment Manager Statements	Treasury Operations	2 years
	Treasury Operations	Non-repetitive Wire Transfers (request forms and backup)	Treasury Operations	7 years
	Treasury Operations	Repetitive Wire Transfer Backup	Treasury Operations	2 years
	Treasury Operations	Tax-Exempt Bonds	Treasury Operations	Life of bonds +3 years

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	University Architects	Bid Records	Controller	6 years for accepted bids, 2 years for rejected bids
	University Architects	Permit drawings, record drawings	Facilities Resource Center	Permanent/Life of facility
	University Architects	Building /Land Inventory	Finance Office	Permanent
	University Architects	Certificates of Occupancy	Finance Office	Permanent/Life of facility
	University Architects	Building Permits	Facilities Resource Center	Permanent/Life of facility
	University Architects	Space/Facilities Use	Facilities Resource Center	5 years for summary reports/Permanent for overall historical information
	University Architects	Plats, surveys, utility location maps	Facilities Resource Center	Permanent/Life of facility
<b>General Counsel</b>				
	General Counsel	Original Patents, Trademarks, and Related Work Papers	Finance Office	Permanent
	General Counsel	Royalty Records	Finance Office	Life of patent plus 6 years
	General Counsel	Settlements	Finance Office	Permanent
	General Counsel	Releases	General Counsel	Permanent
	General Counsel	Lawsuits	General Counsel	Permanent
<b>President's Office</b>				
	Athletics	Intramural waivers	Fitness Center	3 years after session
	Athletics	Club Sports waivers	Fitness Center	3 years after signing
	Athletics	Fitness Center waivers	Fitness Center	3 years after graduation
	Athletics	Athletic Eligibility	Athletics	5 years
	Athletics	Athletic Injury (catastrophic)	Athletics	Permanent
	Athletics	Claims Payment (secondary coverage)	Athletics	5 years
	Athletics	Competitive Record	Athletics	5 years
	Athletics	Game Arrangement Records	Athletics	5 years
	Athletics	Game Officials' Evaluations	Athletics	1 year
	Athletics	Game Statistics	Athletics	Permanent
	Athletics	Individual Athletic Record	Athletics	1 year after separation
	Athletics	Insurance Records	Athletics	10 years
	Athletics	Playbooks	Athletics	5 years
	Athletics	Player Records	Athletics	5 years or end of eligibility
	Athletics	Positive Drug Test	Athletics	3 years or end of eligibility
	Athletics	Practice Schedule	Athletics	5 years
	Athletics	Recruiting	Athletics	5 years or end of eligibility
	Athletics	Scheduling	Athletics	6 years after expiration of contract
	Athletics	Student Athletic Academic Advising Records	Athletics	5 years after degree completed or last enrollment
	Athletics	Student Athlete Medical	Athletics	10 years after student is last enrolled
	Athletics	Tickets	Athletics	5 years
	Athletics	Athletic Scholarship Award	Athletics	5 years
	Athletics	Grant-In-Aid Scholarships	Athletics	5 years
	Budget Office	Position Inventory Control/People Sheets	Budget Office	4 years

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	Budget Office	Budget Formulation Documents	Budget Office	10 years
	Budget Office	Unit Budget Preparation Instructions	Budget Office	4 years
	Budget Office	Unit Budget Submissions	Budget Office/Individual Schools	4 years
	Budget Office	Approved AU Budget	Budget Office	Permanent
	Budget Office	Tuition and Fee Schedule	Budget Office	10 years
	Budget Office	May 1 Line-Item Budget	Budget Office	10 years
	Budget Office	Funding Allocation Memos	Budget Office/Individual Schools	4 years
	Budget Office	Budget Changes and Reports to Units	Budget Office	4 years
	Budget Office	Quarterly Budget Performance Review	Budget Office	4 years
	Budget Office	Year-End Budget Performance Review	Budget Office	10 years
	Originating Units	Administrative Reports, Activity, Annual & Periodic Status	President's Office	Permanent for record copy of final annual report
	President's Office	Trustee Decisions Regarding Academic Personnel and Designated Executives	President's Office	Permanent
	President's Office	Board of Trustees Records/Minutes	President's Office	Permanent
	President's Office	Institutional Addresses & Statements	President's Office	Permanent for final copy and audio/video recordings
	President's Office	International MOAs	President's Office	Permanent
	President's Office	Legislative Relations	President's Office	4 years
	Secretary of the Corporation	By-Laws	President's Office	Permanent
	Secretary of the Corporation	Charter	President's Office	Permanent
	Special Events Office	Special Events Materials	Special Events Office	Permanent
	Alumni Relations	Alumni Association Board	Alumni Relations	Permanent for agenda, minutes and reports
	Alumni Relations	Alumni Information Records	Alumni Relations	Permanent
	Alumni Relations	Alumni Association Services	Alumni Relations	5 years
	Alumni Relations	Alumni Mailing Lists	Alumni Relations	Until superseded
	Gifts	Class Gift	Development	Permanent
	Gifts	Development & Endowment Fees	Development	4 years
	Gifts	Gift Records	Development	6 years for hard copy, permanent for electronic records
	Gifts	Gifts of Art	Development	Permanent
	Gifts	Original Gift Letter Agreements (signed by President and donor)	Development	Permanent
	Gifts	Planned Gifts (trusts, life income, agreements, annuities) & Real Estate Gifts	Development	Permanent
	Publications	Any Publication with University Imprint	Publications	Permanent
<b>Provost</b>				
	Career Center	Merit Award applications, essays and supporting materials	Career Center	1 year after competition closes
	Career Center	Merit Award winning applications and supporting materials	Career Center	Permanent

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	Dean of Academic Affairs	Academic Search Waivers	Dean of Academic Affairs	For Permanent waivers, 3 years from date of appointment & for limited term waivers, 3 years from satisfaction of subsequent search requirements or termination
	Dean of Academic Affairs	Sexual Harassment Complaints (investigations and findings)	Dean of Academic Affairs	3 years from determination for no cause findings and permanent for cause findings
	Enrollment Services	Admissions for Applicants who do not enroll, whether accepted or rejected (advanced placement records, applications for admission or readmission, relevant correspondence, entrance exam reports (ACT, CEEB), residency classification forms, letters of recommendation, transcripts)	Admissions Office	2 years from date of start of application term
	Enrollment Services	Recruitment Materials	Admissions Office	Until Date of Enrollment
	Enrollment Services	Transcripts (high school and other colleges)	Admissions Office	5 years from graduation or date of last attendance
	Enrollment Services	Financial Aid Records (applicants who do not enroll)	Financial Aid	3 years from date of graduation
	Enrollment Services	Financial Aid Records (applicants who enroll)	Financial Aid	5 years from date of graduation
	Enrollment Services	Intent to Attend	Financial Aid	3 years after enrollment
	Enrollment Services	Borrower's Loan Records	Financial Aid	5 years after loan repayment
	Enrollment Services	Borrower's Loan Records (cancelled)	Financial Aid	Permanent for assignment files, 5 years after cancellation for others
	Enrollment Services	Credit Bureau Reports	Financial Aid	4 years
	Enrollment Services	Graduate Student Tuition Remission	Financial Aid	8 years
	Enrollment Services	Loan Activity	Financial Aid	Permanent
	Enrollment Services	Various Scholarships	Financial Aid	5 years after award notification for acceptance, 1 year for denials
	Enrollment Services	Pell Grant	Financial Aid	5 years after audit
	Enrollment Services	Stafford Loan Signature Cards	Financial Aid	5 years after last application
	Enrollment Services	Student Cumulative Financial Aid Records	Financial Aid	5 years after last application
	Enrollment Services	Student Promissory Notes	Financial Aid	5 years after repayment
	Originating Units	Academic Actions (dismissal, etc.)	Originating Units	5 years from graduation or date of last attendance
	Originating Units	Academic Integrity Code Violations	Originating Units	5 years after last registration
	Originating Units	Academic Integrity Code Violations resulting in sanctions	Dean's Office & Registrar	Permanent

# American University

## Records Retention Schedule

	Originating Units	Academic Records (including narrative evaluations, competency assessments)	Originating Units	2 years after graduation or date of last attendance
	Originating Units	Advising records	Originating Units	2 years after graduation or date of last attendance
	Originating Units	Curriculum Change Authorizations	Originating Units	5 years from graduation or date of last attendance
	Originating Units	Term Reports	Originating Units	5 - 7 years
	Originating Units	Independent Study Records	Originating Units	1 year from graduation or date of last attendance
	Originating Units	Letters of Recommendation	Originating Units	Until date of enrollment
	Originating Units	Academic Search Records	Originating Units	Permanent for successful candidate, 3 years after search completed for others
	Originating Units	Adjunct Instruction	Originating Units	Permanent for successful candidate, 3 years for inquiries
	Originating Units	Course/Teaching Evaluations	Originating Units	3 years after employee separation
	Originating Units	Student Academic Grievances	Originating Units	5 years after last matriculation
	Originating Units	Tenure/Promotion Reviews	Originating Units	If Action approved, 3 years w/ tenure denied, 3 years from end of appointment term
	Originating Units	Academic Search Plans & Statements	Originating Units	3 years
	Originating Units	Special Academic Programs	Originating Units	Permanent for policy/ development documents
	Originating Units	Academic Program Administration	Originating Units	1 year
	Originating Units	Graduate Award Records (scholarships, fellowships)	Originating Units	Permanent
	Originating Units	Accreditation	Provost Office	Permanent
	Institutional Research	Institutional Accreditation	Provost Office	Permanent
	Institutional Research	Institutional Planning	Institutional Research	Permanent for Final reports 10 years for internal planning material
	Sponsored Programs	Grant Project Contracts	Sponsored Programs	7 years after completion of research, unless sponsor's retention period is longer
	Sponsored Programs	Grant and Contract Applications & Proposals (unfunded)	Sponsored Programs	3 years
	Sponsored Programs	Grant Projects Research	Sponsored Programs	Permanent for Record copy of final Research Report
	Sponsored Programs	Human Subject Records	Sponsored Programs	3 years after Completion of Project
	Sponsored Programs	Animal Welfare Records	Sponsored Programs	3 years after Completion of Project
	Sponsored Programs	Recombinant DNA Research Records	Sponsored Programs	Permanent
	University Library	American University Press	University Library	Permanent
	University Library	Proxy forms	University Library	1 year
	University Library	Locker agreements	University Library	1 year

# American University

## Records Retention Schedule

	University Library	Associate borrowers forms	University Library	1 year
	University Library	Laptop borrowers agreements	University Library	1 semester
	University Library	Requests for items to be put on reserves	University Library	2 years
	University Library	Security incident reports	University Library	3 years
	University Library	CLS records for articles	University Library	6 months
	University Library	ILL records for CONTU	University Library	5 years
	University Library	ILL records of request	University Library	3 years
	University Library	Circulation for books	University Library	Until withdrawn
	University Library	Materials checked out	University Library	Not retained
	University Library	Circulation system user notes	University Library	Permanent
	University Library	Fine records	University Library	Permanent
	University Library	Circulation system user records	University Library	Permanent
	University Library	Library websites and individual pages	University Library	Permanent (CD)
	University Library	Assessment data-personally identifying information	University Library	Length of Project
	University Library	Anonymous or aggregate assessment data	University Library	Permanent
	University Library	Initial order records for books, serials, and e-resources	University Library	6 years
	University Library	Student employment records	Human Resources	6 years after termination
	University Library	Personal faculty annual reports	University Library	Permanent
	University Library	Academic search plans and statements	University Library	Permanent for successful candidates; 3 years for others
	University Library	Tenure and Promotion Reviews	University Library	3 years
	University Library	Affirmative Action Search Faculty files	University Library	7 years from search date
	University Library	ULFC agendas, minutes, policies	University Library	Permanent
	University Library	ACT Donor Database	University Library	Permanent
	University Library	Donor files	University Library	Permanent
	University Library	University Archives Researcher Forms	University Library	Permanent
	University Library	Surveys	University Library	Permanent
	University Library	Friends of the Library (agendas, correspondence, minutes, reports)	University Library	Permanent
	University Library	Signed part-time payroll cards	University Library	7 years from date of pay period
	University Library	One Card-all receipts retained by department	University Library	5 fiscal years
	University Library	Accounting reports/deposit receipts from service desks	University Library	5 years
	University Library	Building renovation files	University Library	Permanent
	University Library	University Library budget	University Library	Permanent
	University Library	University Librarian and Assistant/Associate University Librarians (UL chron file)	University Library	Permanent
	University Library	Library statistics	University Library	Permanent

# American University

## Records Retention Schedule

	University Library	Library policies	University Library	Permanent
	University Library	Library publications (e.g., manuals, handbooks, etc.)	University Library	Permanent
	University Library	Team agendas, minutes, reports	University Library	Permanent
	University Library	Theses and Dissertations	University Library	Permanent
	University Library	Appraisal of Library Materials	University Library	Permanent
	University Library	Artifact Acquisition	University Library	Permanent
	University Library	Circulation Records	University Library	90 days after Return of materials
	University Library	Collection or Artifact Loan	University Library	20 years after Termination of loan
	University Library	Collection & Acquisition Exchange	University Library	Permanent
	University Library	Collection Control	University Library	Permanent
	University Library	Deaccession	University Library	Permanent
	University Library	Exhibit	University Library	Permanent
	University Library	Reference Request Records	University Library	5 years
	University Library	Serial Records	University Library	Permanent
	University Registrar	Academic Deficiency Reports	University Registrar	5 years from Graduation or date of last attendance
	University Registrar	Change Grade Forms	University Registrar	Permanent
	University Registrar	Change Student ID Number	University Registrar	Permanent
	University Registrar	Original Class Lists	University Registrar	Permanent
	University Registrar	Consent to Release Personally Identifiable Information	University Registrar	Kept until next academic year, signature kept 5 years
	University Registrar	Course Offerings/Class Schedules	University Registrar	Permanent
	University Registrar	Diploma Mailing Certification	University Registrar	1 year
	University Registrar	Enrollment Verification	University Registrar	1 year from Enrollment date
	University Registrar	FERPA Documents	University Registrar	Life of affected document or until student terminates waiver for written consent
	University Registrar	FOIA Requests	University Registrar	Life of affected document
	University Registrar	Grade Sheets	University Registrar	Permanent
	University Registrar	Graduation Lists	University Registrar	Permanent
	University Registrar	Hold or Encumbrance Authorizations	University Registrar	Until Released
	University Registrar	Name Change/Authorization	University Registrar	Permanent
	University Registrar	Student Class Schedules	University Registrar	1 year from Graduation date or date of last attendance
	University Registrar	Transcripts	University Registrar	Permanent
	University Registrar	Transcript Requests	University Registrar	1 year from Submission date
	University Registrar	Transfer Credit Evaluations	University Registrar	5 years from Graduation
	University Registrar	Veteran Administration Certifications	University Registrar	5 years from Graduation or date of last attendance
	University Registrar	Withdrawal Authorizations/Leaves of Absence	University Registrar	2 years

# American University

## Records Retention Schedule

	University Registrar	Admissions for Applicants who enroll (advanced placement records, applications for admission or readmission, correspondence that is relevant, entrance exam reports (ACT, CEEB))	University Registrar	5 years from Graduation or date of last attendance
	University Registrar	Residency Certificates	University Registrar	5 years from Graduation or date of last attendance
	University Registrar	Residency Change Documents (non-resident to resident)	University Registrar	5 years from Graduation or date of last attendance
	University Registrar	Student Waivers for Right of Access	University Registrar	Until Graduation or date of last attendance
	University Registrar	Degree, Graduation, Enrollment and Racial/Ethnic Statistics	University Registrar	Permanent
	University Registrar	Schedule of Classes (institutional)	University Registrar	Permanent
	University Registrar	Catalogs	University Registrar	Permanent
	University Registrar	Commencement Programs	University Registrar	Permanent
	University Registrar	Commencement Attendance	University Registrar	1 year
	University Registrar	National Testing Records	University Registrar	3 years after Testing date
	University Registrar	Room Scheduling	University Registrar	1 year
	University Registrar	Classroom and Lab Utilization	University Registrar	5 years for final reports