

Appendix A – Records Retention Schedule

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Appendix A - Records Retention Schedule

Note: No document list can be exhaustive. Questions regarding the retention period for any specific document or class of documents not included in these tables should be addressed to the Office of General Counsel.

Caution: Offices/departments other than the “Official Repository” should delete/destroy any duplicate records promptly *unless there is a business or other reason to retain the records, or unless directed otherwise to preserve Records.*

Table 1

Repositories and Retention Periods for Undergraduate, Graduate, Professional, Continuing Education and Summer Session, Extramural and Special Programs Student-Related Academic Records

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic, Student		
Academic Actions, (Dismissal, etc.)	<i>Office of the Registrar</i> <i>Law Registrar</i>	5 years from graduation or date of last attendance After 2002, Permanent
Academic Integrity Code Violations	<i>Appropriate School</i> <i>Law Registrar</i>	10 years from graduation or date of last attendance After 2002, Permanent
Academic Records (including financial aid records, demographic information, schedules/missed class time requests)	<i>Department of Athletics and Recreation</i>	7 Years
Academic Records (including narrative evaluations, competency assessments, etc.)	<i>Office of the Registrar</i> <i>Law Registrar</i>	Permanent
Academic Records (including degree audits, change of school/major requests, internship/practicum applications, academic awards applications)	<i>Department of Athletics and Recreation</i>	10 Years from initial enrollment
Admissions Information	<i>Department of Athletics and Recreation</i>	7 Years (for enrollees) 1 year (for non-enrollees)
Change of Course Forms-Continuing Education, Summer Sessions, and Extramural Studies	<i>School of Continuing Studies</i>	5 years from date of enrollment
Change of Grade Forms	<i>Office of the Registrar</i> <i>Law Registrar</i>	Permanent

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Change of Student ID Number Form	<i>Office of the Registrar Law Registrar</i>	10 Years
Class Lists (original)	<i>Office of the Registrar Law Registrar</i>	Permanent
Consent to Release Personally Identifiable Information Form (Requests for Non-Disclosure)	<i>Office of the Registrar Law Registrar</i>	Request Form considered valid until next academic year; authorization signatures kept 5 years 1 year from signature
Course Offerings	<i>Office of the Registrar Law Registrar</i>	Permanent
Curriculum Change Authorizations	<i>Office of the Registrar Law Registrar</i>	5 years from graduation or date of last attendance Permanent
Disciplinary Records	<i>Office of the Registrar Law Registrar</i>	Generally, 10 years from the date of final obligation Permanent
Enrollment Verifications	<i>Office of the Registrar Law Registrar</i>	1 year from enrollment date or date of request 1 year from date of request
FERPA releases	<i>Department of Athletics and Recreation</i>	7 Years (max, could be less)
Financial Aid Records (applicants who do not enroll)	<i>Office of Financial Aid</i>	3 years after the award year for which the aid was offered
Financial Aid Records (applicants who enroll)	<i>Office of Financial Aid</i>	3 years after the award year for which the aid was offered
Former student (alumni) records housed by the Office of Alumni Relations & Development	<i>Office of Alumni Relations & Development</i>	Permanent
Grade Sheets	<i>Office of the Registrar Law Registrar</i>	Permanent
Graduation Lists	<i>Office of the Registrar Law Registrar</i>	Permanent
Letters of Recommendation	<i>Department of Athletics and Recreation</i>	Electronic: permanent

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Hold or Encumbrance Authorizations	<i>Office of the Registrar Law Registrar</i>	Until hold or encumbrance released
Manual/Online Grade Sheets	<i>Office of the Registrar Law Registrar</i>	Permanent
Name Change Form	<i>Office of the Registrar Law Registrar</i>	10 Years
Non-matriculating Student Records	<i>Office of the Registrar Law Registrar</i>	1 Year
Probation Lists	<i>Department of Athletics and Recreation</i>	Paper and electronic: permanent
Student Class Schedules	<i>Office of the Registrar Law Registrar</i>	1 year from graduation date or date of last attendance
Student Loan Records	<i>Student Loan Office</i>	3 years after the loan has been closed
Student Registration Forms-Continuing Education, Summer Sessions, and Extramural Studies	<i>School of Continuing Studies</i>	1 year from registration
Term Reports	<i>Appropriate Department or School</i>	5-7 Years
Transcripts	<i>Office of the Registrar Law Registrar</i>	Permanent
Transcript Requests	<i>Office of the Registrar Law Registrar</i>	1 year from submission date 1 year from date of signature
Transfer Credit Evaluations	<i>Office of the Registrar Law Registrar</i>	5 years from graduation Permanent
Tuition and Fee Charges	<i>Student Financial Services</i>	7 Years
Veteran Administration Certifications	<i>Office of the Registrar Law Registrar</i>	5 years from graduation or date of last attendance Permanent
Withdrawal Authorizations/Leaves of Absence Form	<i>Office of the Registrar Law Registrar</i>	10 Years

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION****Admissions for Applicants Who Do Not Enroll, Whether Accepted or Rejected**

Advanced Placement Records, Applications for Admission or Readmission, Correspondence that is relevant, Entrance Exam Reports , Residency Classification Forms, Letters of Recommendation, Transcripts — High School and Other College	<i>Admissions Office Graduate School Program Units</i>	2 years from date of start of application term
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Admissions for Applicants Who Enroll

Advanced Placement Records, Applications for Admission or Readmission, Correspondence that is Relevant, Entrance Exam Reports	<i>Office of the Registrar Graduate School Admission Office</i>	5 years from graduation or date of last attendance Permanent
International Student Forms (visa documentation, etc.)	<i>International Office</i>	5 years from graduation or date of last attendance
Letters of Recommendation	<i>Office of the Registrar Graduate School Admission Office</i>	5 years from graduation or date of last attendance
Recruitment Materials	<i>Office of the Registrar Graduate School Admission Office</i>	5 years from graduation or date of last attendance
Residency Certificates	<i>Office of the Registrar</i>	5 years from graduation or date of last attendance
Student Waivers for Right of Access (See Letters of Recommendation for Admission)	<i>Office of the Registrar</i>	Until graduation or date of last attendance
Transcripts — High School and Other College	<i>Office of the Registrar</i>	5 years from graduation or date of last attendance

Publications, Statistical Data/Documents, and Reports

Catalogs	<i>Office of the Registrar</i>	Permanent
Commencement Programs	<i>Office of Special Events</i>	Permanent
Degree, Grade, Enrollment, and Racial/Ethnic Statistics	<i>Office of the Registrar</i>	Permanent
Schedule of Classes (institutional)	<i>Office of the Registrar</i>	Permanent

Table 2*Repositories and Retention Periods for Non-Student-Related Records*

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Academic Personnel		
Academic Search Records	<i>See Affirmative Action/Equal Opportunity Section</i>	
Annual Conflict of Interest Disclosure Statements	<i>School Dean's Office</i>	3 Years
Grievances	<i>Office of the Provost/Office of Equal Opportunity and Access</i>	No Cause Findings, 3 years from determination Cause Findings, Permanent
Personnel Files, Appointment Letters and Forms	<i>See Human Resources Section</i>	
Tenure or Promotion Dossiers	<i>Office of the Provost</i>	If action approved, 3 years from final date of employment; If tenure denied, 3 years from end of term appointment
Trustee Decisions Regarding Academic Personnel and Designated Executives	<i>Office of Administration and Planning</i>	Permanent

Accounting and Finance

Accounts Payable Vouchers and Attachments	<i>Office of the Controller</i>	8 Years
Accounts Receivable Statements, Centrally Generated	<i>Office of the Controller</i>	8 Years
Accounting Reports (monthly reports) Schedules of Department Balances, Transaction Statements, Account Analysis Statements, Monthly and Year-to-Date Salary and Wage Statements	<i>Office of the Controller</i>	8 Years
Annual Financial Reports and Work papers	<i>Office of the Controller</i>	Permanent
Banking Records, Including Deposit and Withdrawal Records, Bank Statements and Reconciliation, Voided and Canceled checks	<i>Office of the Controller</i>	8 Years
Capital Equipment Records	<i>Office of the Controller</i>	Life of Asset: records of equipment purchased on federal funds must be retained for three years after final disposition
Cash Receipts	<i>Office of the Controller</i>	8 Years

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Cash receipts log, cash register tapes, credit card receipts, and copies of checks	<i>Appropriate Department</i>	3 prior fiscal years plus current fiscal year
Depreciation Records	<i>Office of the Controller</i>	Life of Asset
Effort Certifications	<i>Office of the Controller</i>	3 years from the date of submission of the final expenditure report or, for awards that are renewed quarterly or annually, from the date of the submission of the quarterly or annual financial report, as authorized by the Federal awarding agency. If any litigation, claim, or audit is started before the expiration of the 3-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Indirect Cost Rate Calculations	<i>Office of the Controller</i>	<p>If submitted for negotiation. If the recipient submits to the Federal awarding agency or the subrecipient submits to the recipient the proposal, plan, or other computation to form the basis for negotiation of the rate, then the 3-year retention period for its supporting records starts on the date of such submission.</p> <p>If not submitted for negotiation. If the recipient is not required to submit to the Federal awarding agency or the subrecipient is not required to submit to the recipient the proposal, plan, or other computation for negotiation purposes, then the 3-year retention period for the proposal, plan, or other computation and its supporting records starts at the end of the fiscal year (or other accounting period) covered by the proposal, plan, or other computation.</p>
Inventory of Goods – logs, order documentation and packing slips, and sales or distribution records	<i>Appropriate Department</i>	3 prior fiscal years plus current fiscal year
Journal Entries and Back-up Documentation	<i>Office of the Controller</i>	8 Years
New Account Records and Back-up Documentation	<i>Office of the Controller</i>	8 years after account closing
Procurement Card Charge Documentation	<i>Office of the Controller</i>	8 Years
Proof of Reconciliation of Revenue and Expense Activity	<i>Appropriate Department</i>	2 prior fiscal years plus current fiscal year

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Subsidiary Ledgers (Accounts Payable, Accounts Receivable, etc.)	<i>Office of the Controller</i>	8 Years
Procurement Card Bank Statements w/ receipts and proof of reconciliation	<i>Appropriate Department</i>	3 prior fiscal years plus current fiscal year
Summary Analysis Reports, end of year	<i>Office of the Controller</i>	8 Years
Trial Balances	<i>Office of the Controller</i>	8 Years
Travel Reimbursements and Attachments	<i>Office of the Controller</i>	8 Years
Travel Expense Reports – Approved Copy (for Sponsored Project Contracts, Grants see page 21)	<i>Appropriate Department</i>	1 prior fiscal year plus current fiscal year
University Audit Work Papers	<i>Office for Audit and Advisory Services</i>	7 Years

Affirmative Action/ Equal Opportunity

Academic Search Plans and Statements	<i>For Forms, Office the Provost; For Search Materials and Documents Supporting Decision, Appropriate Department</i>	3 Years
Academic Search Waivers	<i>Appropriate Department</i>	For Permanent Waivers, 3 years from date of appointment; For Limited-Term Waivers, 3 years from satisfaction of subsequent search requirements or appointment termination
Affirmative Action Programs	<i>Office of Equal Opportunity and Access</i>	Permanent
Conciliation Agreements/ Orders on Consent	<i>Office of Equal Opportunity and Access</i>	Permanent
Documents Supporting Other Academic or Non-Academic Selection Decisions (e.g., promotion, termination, compensation)	<i>Appropriate Department</i>	3 years from effective date of decision
EEO Investigations, ADA Accommodations Documents, and Findings	<i>Office of Equal Opportunity and Access</i>	No Cause Findings, 3 years from determination Cause Findings, Permanent
Federal and State Required Statistics and Reports	<i>Office of Equal Opportunity and Access</i>	Permanent

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Non-Academic Search and Hiring Forms (search waivers, documentation of hiring decision forms)	<i>Office of Human Resources</i>	3 years from date of appointment
Non-Academic Search Materials and Documents Supporting Hiring Selection Decisions	<i>Appropriate Department</i>	3 years from date of appointment
Sexual Harassment Complaints, Investigations, and Findings	<i>University Sexual Harassment Prevention Office</i>	No Cause Findings, 3 years from determination Cause Findings, Permanent

Alumni Relations and Development

Alumni Records	<i>Office of Alumni Relations and Development</i>	Permanent
Endowed Fund (gift instruments, trust agreements, wills, correspondence, solicitations, amendments)	<i>Office of Alumni Relations and Development</i>	Permanent
Gift Records	<i>Office of Alumni Relations and Development</i>	7 years for hard copy records Permanent for electronic records
Original Gift Letter Agreements, Signed by President and Donor	<i>Office of Alumni Relations and Development</i>	Permanent
Original Gift Letter Agreements, All others	<i>Office of Alumni Relations and Development</i>	Permanent
Planned Gifts (trusts, life income, agreements, annuities) Real Estate Gifts	<i>Office of Alumni Relations and Development</i>	Permanent

Athletics and Recreation

Administration and Human Resources Records (driver's license verification, mileage, and salary planning spreadsheets)	<i>Department of Athletics and Recreation</i>	Permanent
Aquatics Pool and Beach (rental agreements, contracts)	<i>Department of Athletics and Recreation</i>	5 Years
Athletic Training Room (student-athlete medical files, injury/illness reports, insurance reports)	<i>Department of Athletics and Recreation</i>	7 Years
Business Office Budget Statements/Records - Athletics	<i>Department of Athletics and Recreation</i>	7 Years (year-end summaries only after 2 years)
Business Office Budget Statements/Records - Recreation	<i>Department of Athletics and Recreation</i>	2 Years
Business Office Revenue Deposit Records	<i>Department of Athletics and Recreation</i>	7 Years

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Camps - Recreation (approval forms, participant rosters, promotional materials, sailing records, waiver forms, Wildcat records)	<i>Department of Athletics and Recreation</i>	7 Years Waivers held until participant reaches 18 years of age
Camps/Clinics – Athletics (approval forms, participant rosters, promotional materials, staff lists, trainer verification forms)	<i>Department of Athletics and Recreation</i>	Information goes back to 2002 (7 years)
Camps/Clinics Background Check Forms/Reports - Athletics	<i>Department of Athletics and Recreation</i>	Began background checks in the Spring of 2007 (NU Risk Management has set the standard to replace these checks every five years, so 5 Years from submission date)
Camp Staff Lists - Recreation	<i>Department of Athletics and Recreation</i>	5 Years
City of Evanston Beach Water Test Records	<i>Department of Athletics and Recreation</i>	2 Years
Coach Personnel Files (evaluations, contracts/letters of appointment, disciplinary reports)	<i>Department of Athletics and Recreation</i>	10 Years after separation
Compliance (drug testing information, vehicle information, student-athlete employment records, recruiting records, medical information - for medical waivers submitted to Big Ten or NCAA)	<i>Department of Athletics and Recreation</i>	7 Years
Compliance (eligibility records, NCAA violation reports, NCAA audit reports)	<i>Department of Athletics and Recreation</i>	Permanent
Equipment Room Inventory Lists	<i>Department of Athletics and Recreation</i>	5 Years
Equipment Room Letter Awards Lists	<i>Department of Athletics and Recreation</i>	30 years of paper file
Facility Maintenance Records - Athletics	<i>Department of Athletics and Recreation</i>	Permanent
Facility Records – Athletics (schedules, rental agreements/contracts, work orders)	<i>Department of Athletics and Recreation</i>	As permanent as a computer OS will allow – 7 years of hard copies
Facility Records - Recreation (maintenance, work orders)	<i>Department of Athletics and Recreation</i>	5 Years
Facility Rental Agreements/Contracts - Recreation	<i>Department of Athletics and Recreation</i>	10 Years
Facility Schedules - Recreation	<i>Department of Athletics and Recreation</i>	3 Years

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Fitness Equipment Inventory Lists	<i>Department of Athletics and Recreation</i>	Permanent
Fitness Equipment Service Agreements	<i>Department of Athletics and Recreation</i>	Through expiration or life of equipment, whichever is longer
Fitness Equipment Work Orders	<i>Department of Athletics and Recreation</i>	2-3 Years
Lifeguard Certification	<i>Department of Athletics and Recreation</i>	5 Years
Marketing (spectator contact information – provided by spectators, sponsor contracts)	<i>Department of Athletics and Recreation</i>	Permanent
Marketing (credit card information for purchase of Kid's Club membership, scoreboard messages and game programs)	<i>Department of Athletics and Recreation</i>	3 months from date of purchase
Media (press releases, team rosters, student-athlete demographic information, game statistics and reports)	<i>Department of Athletics and Recreation</i>	Permanent
Media FERPA Releases	<i>Department of Athletics and Recreation</i>	Permanent (in student-athlete files)
Media Guides	<i>Department of Athletics and Recreation</i>	Permanent (extra guides not used by coaches or our office are thrown away after one year)
Membership Registration and Activity Forms (application, payment, suspension, refund)	<i>Department of Athletics and Recreation</i>	7 Years
Membership Registration Forms (health history, fitness assessment consent, physical activity screening)	<i>Department of Athletics and Recreation</i>	2 years past membership
Personal Training Consent Form	<i>Department of Athletics and Recreation</i>	2 years past membership expiration
Student Club Sports (data sheet, informed consent waiver, facility request)	<i>Department of Athletics and Recreation</i>	Current academic year
Student Club Sports (officer list , roster, quarterly report)	<i>Department of Athletics and Recreation</i>	Permanent
Student Club Sports Budget Request Forms	<i>Department of Athletics and Recreation</i>	7 Years
Student Club Sports Vehicle Request Form	<i>Department of Athletics and Recreation</i>	2 Years
Ticket Office (credit card dispute records, deposit receipts/batches/CUFS charges)	<i>Department of Athletics and Recreation</i>	4 Years
Ticket Office (season ticket holder account information including contact information)	<i>Department of Athletics and Recreation</i>	Active accounts indefinitely Inactive accounts cleared every 5 years
Ticket Office (ticket reconciliation/audit Information)	<i>Department of Athletics and Recreation</i>	7 Years

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Ticket Office Credit Card Information (truncated)	<i>Department of Athletics and Recreation</i>	Cleared annually
Ticket Office Game Folders Inc Comp Ticket Info	<i>Department of Athletics and Recreation</i>	6 Years
Ticket Office Ticket Stock/Voids/Will Call Flaps	<i>Department of Athletics and Recreation</i>	3 Years
Ticket Office Ticket Stubs	<i>Department of Athletics and Recreation</i>	1 Year

Benefits

Employee Eligibility for Retirement	<i>Office of Human Resources</i>	Permanent
Employee Personal Information (name, address, SSN, period of employment)	<i>Office of Human Resources (HRIS)</i>	Permanent
Employee Service Records	<i>Office of Human Resources (HRIS)</i>	Permanent
Life insurance processing with Beneficiaries	<i>Office of Human Resources</i>	6 years after death of employee and beneficiary
Plan Administrator Setting Forth Authority to Pay, Records of	<i>Office of Human Resources</i>	Permanent
Retirement Plans and All Attached Amendments	<i>Office of Human Resources</i>	Permanent
Retirement Plans Filed with the Department of Labor and Internal Revenue Service	<i>Office of Human Resources</i>	Permanent

Budget and Planning

Annual University operating and capital budgets, including school and area financial plans and related support analyses, and Trustee Budget Committee and Planning and Budget Group documents	<i>Office of Budget and Planning</i>	Permanent
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Construction

As-built Drawings	<i>Facilities Management</i>	Permanent
Contracts and Agreements	<i>Facilities Management</i>	10 years past completion of the contract or life of the building, whichever is longer

Corporate Records

Accreditation Records	<i>Office of the President</i>	Permanent
Board of Trustee Minutes	<i>Office of Administration and Planning</i>	Permanent

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Bylaws	<i>Office of Administration and Planning</i>	Permanent
Charter	<i>Office of Administration and Planning</i>	Permanent

Environmental Health and Safety

Alcohol Permits for Laboratory Services	<i>University Services</i>	5 Years
Analyses using exposure or medical records	<i>Office for Research Safety</i>	30 Years
Audits and other reviews of radiation safety program	<i>Office for Research Safety</i>	5 Years
Background data to environmental (workplace) monitoring or measuring	<i>Office for Research Safety</i>	1 year (however, all other employee exposure record retention requirements apply)
Biennial Reports and exception Reports for hazardous wastes	<i>Office for Research Safety or Facilities Management</i>	3 Years from Due Date
Employee Exposure Records	<i>Office for Research Safety</i>	30 Years
Evacuation Drill Records	<i>Office for Risk Management</i>	5 Years
Fire Protection Systems Records	<i>Facilities Management</i>	5 Years
Fume Hood Testing Records	<i>Office for Research Safety</i>	3 Years
Hazardous Waste Disposal Manifests and Reports	<i>Facilities Management and Office for Research Safety</i>	3 Years
Incident Records	<i>Office for Research Safety</i>	5 Years
Incident Reports for Lasers	<i>Office for Research Safety</i>	5 Years
Listing of individuals authorized to operate lasers, results of protective eyewear inspections, instrument calibrations for lasers	<i>Office for Research Safety</i>	5 Years
Material Safety Data Sheets and records of the identity of a substance or agent	<i>Appropriate Department</i>	No specified period as long as some record of chemical identity, where it was used, and when it was used are maintained for 30 years
Material Safety Data Sheets	<i>Appropriate Department</i>	As long as chemicals subject to the OSHA Hazard Communication Standard are in use
Portable Extinguisher Training Records	<i>Office for Risk Management</i>	3 Years

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Provisions of the radiation safety program	<i>Office for Research Safety</i>	Permanent
Radiation Dose Reports	<i>Office for Research Safety</i>	Permanent
Radiation Safety Training Records	<i>Office for Research Safety</i>	3 Years
Radioactive Materials License and Safety Committee Records	<i>Office for Research Safety</i>	Permanent
Radioactive Material Receiving and Inventory Records	<i>Office for Research Safety</i>	3 Years
Recombinant DNA Research Records	<i>Office for Research Safety</i>	Permanent
Records Related to a Termination or Amended License	<i>Office for Research Safety</i>	5 years
Records Related to Training, Drills and Exercises, Incidents and Breaches of Security, Maintenance, Calibration, and Testing of Security Equipment, Security Threats, Audits, and Letters of Authorization and Approval	<i>Office for Research Safety</i>	3 years
Records of Submitted Top-Screens, Security Vulnerability Assessments, Site Security Plans, and all related correspondence with the Department of Homeland Security	<i>University Police</i>	6 years
Records of Occupational Exposure to Human Blood, Blood Products, or Other Potentially Infectious Human Materials	<i>Office for Research Safety</i>	Duration of Employment plus 30 Years
Records of surveys and calibrations in the radiation safety program	<i>Office for Research Safety</i>	5 Years
Records of instrument calibrations in the radiation safety program	<i>Office for Research Safety</i>	5 Years
Records of tests for leakage or contamination of sealed sources	<i>Office for Research Safety</i>	5 Years
Records used in preparing prior occupational dose and exposure history	<i>Office for Research Safety</i>	3 Years
Records of radioactive waste disposal	<i>Office for Research Safety</i>	Permanent
Records of inventory, authorized individuals, area entry, security, biosafety, incident response, training, discrepancies, and assignments of responsibility for select agents	<i>Office for Research Safety or Appropriate Department</i>	3 Years
Results of surveys to determine external dose, measurements and calculations of internal dose, results of air sampling, surveys and bioassays, and measurements and calculations pertaining to releases of radioactive effluents to the environment	<i>Office for Research Safety</i>	Permanent
Revised Lists of Approved Persons	<i>Office for Research Safety</i>	5 years
Shipping or Receiving Quantities of Concern Records	<i>Office for Research Safety</i>	5 years following discontinuance of a carrier and 5 years following a shipment or investigation

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Test results, waste analyses, and other determinations of hazardous wastes	<i>Office for Research Safety or Facilities Management</i>	3 Years from date waste was sent
Training records for employees with occupational exposure to human blood, blood products, or other potentially infectious human materials	<i>Office for Research Safety</i>	3 Years
Trustworthiness and Reliability of Individual Employee Records	<i>Office for Research Safety</i>	term of employment plus 5 years

Health

Health Service Regulatory Required Medical Surveillance and Monitoring Records	<i>Health Service</i>	30 years after person leaves the university
Outside Services for Regulatory Required Medical Surveillance and Monitoring Records	<i>Department Office</i>	6 Years

Human Resources

Appointment Forms – Copies	<i>Appropriate Department</i>	Employee duration
Applicant Flow Logs – Staff	<i>Appropriate Department</i>	Employee duration
Conflict of Interest - Staff	<i>Office of Human Resources (HRIS)</i>	Permanent
Employment applications, resumes	<i>Departmental of Human Resources (HRIS)</i>	3 Years
Employee Personnel Files (including application, resume, payroll, appointment/salary forms, annual reviews, and corrective action documents issued to employee)	<i>Office of Human Resources</i>	10 years after separation
Faculty Search Documentation	<i>Appropriate Department</i>	3 years
Federal Reporting Requirements: Welfare Benefits and other Fringe Benefit Plans (i.e., 5500-s).	<i>Office of Human Resources</i>	Permanent
Graduate Student Recruitment Documentation	<i>Appropriate Department</i>	2 years
Individual Contracts of Employment	<i>Office of Human Resources</i>	10 years after separation
I-9 Forms (Faculty, Staff, and Students)	<i>Office of Human Resources</i>	3 Years, or 1 year after separation (whichever is greater)
Job Description – Copies	<i>Appropriate Department</i>	Employee duration
Job Classification – Generic – Copies	<i>Appropriate Department</i>	Employee duration
Job Requisitions – Copies	<i>Appropriate Department</i>	Employee duration
Leave of Absence Requests and documentation	<i>Office of Human Resources</i>	3 years after separation
Non Resident Alien 8233, etc.	<i>Office of Human Resources</i>	3 years from separation

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Occupational Injury or Illness, Records Relating to	<i>Office of Risk Management</i>	7 years after claim is closed
Performance Appraisals (original copy of annual review to Personnel (HR) file; copies of annual review and originals of any quarterly or mid-year performance evaluations)	<i>Office of Human Resources for Annual Review Departmental Personnel Files for others</i>	10 years after separation
Position Data Form – Copies	<i>Appropriate Department</i>	2 prior fiscal years plus current fiscal year
Time Sheets – Work Study – Copies	<i>Appropriate Department</i>	2 prior fiscal years plus current fiscal year
Unemployment Payments, Reports	<i>Office of Human Resources</i>	5 Years
Union Agreements	<i>Office of Human Resources</i>	Permanent
Workers' Compensation Claims and Insurance Policies	<i>Office of Human Resources</i>	18 years after separation

Insurance

Certificates of Insurance, Indemnification Agreements, Hold Harmless Agreements, Contracts	<i>Office of Risk Management</i>	Permanent
Incident Reports, Accident Reports	<i>Office of Risk Management</i>	5 years after report date, unless minor is involved. Then 5 years past age of majority.
Insurance Policies (Liability, Property, and Other Policies)	<i>Office of Risk Management</i>	Permanent

Legal

Consent Orders	<i>Office of General Counsel</i>	Permanent
Court Orders	<i>Office of General Counsel</i>	Permanent
Judgments	<i>Office of General Counsel</i>	Permanent
Releases	<i>Office of General Counsel</i>	Permanent
Settlements	<i>Office of General Counsel</i>	Permanent

Patent and Trademarks

Invention Disclosure with Signature; Original Patents and Related Documents	<i>Technology Transfer Program (TTP)</i>	Permanent
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TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Licensing Agreements	<i>Technology Transfer Program</i>	For the active terms, 'last to expire patent rights' or 10 years or 20 years (as negotiated) when there are no patents, unless the agreement is terminated by the company for any reason or termination by Northwestern on account of breach.
Trademarks, and Related Work Papers	<i>University Services</i>	Permanent
Royalty Records	<i>Technology Transfer Program</i>	Active term of the License Agreements plus until after royalties are fully distributed per the University Policy and 6 years beyond.

Payroll

1042s	<i>Office of Human Resources (Windstar)</i>	10 years after separation
Appointment Forms	<i>Office of Human Resources</i>	10 years after separation
Approved Leave Information	<i>Office of Human Resources (paper & HRIS)</i>	10 years after separation
Check Reissue Records	<i>Office of Human Resources (HRIS)</i>	2 years after separation
Information Returns filed with Federal and State authorities (W-2, 1042S)	<i>Accounting Services</i>	5 years after separation
Leave Approval Letters	<i>Office of Human Resources</i>	10 years after separation
Manual/Online Checks Documentation	<i>Office of Human Resources</i>	5 years after separation
Merit Increase annual process, reports, percentage increases, performance ranking	<i>Office of Human Resources (VISTA)</i>	5 years after separation
Original Deduction Forms	<i>Department sponsoring the deduction or Office of Human Resources</i>	5 years after employment ends
Payroll Deduction Authorization Lists from Authorizing Departments	<i>Office of Human Resources</i>	3 years after employment ends
Record of Payments and Deductions (payroll registers, deductions lists, adjustments, student FICA exemptions lists, Payroll Expense Distributions)	<i>Office of Human Resources (VISTA)</i>	6 months - 3 years (report dependent)

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Special Pay Forms, Additional Pay Forms, Journals, Retroactive Adjustment Documentation	<i>Office of Human Resources</i>	5 years
Time Entry – Temps, Biweekly Regular Employees and Students	<i>Office of Human Resources (ETES)</i>	5 years
W2 information	<i>Office of Human Resources (HRIS)</i>	10 years after separation
W4s	<i>Office of Human Resources</i>	10 years after separation
Wage Assignment Orders	<i>Office of Human Resources</i>	5 years after closed

Public Safety

Accident Reports	<i>University Police</i>	7 years after graduation (if reportable under the Clery Act)
Crime Reports	<i>University Police</i>	7 years after graduation (if reportable under the Clery Act)
Property Damage Reports	<i>University Police</i>	7 years after graduation (if reportable under the Clery Act)

Purchasing

Contracted Services Form – Approved Copy	<i>Appropriate Department</i>	1 prior fiscal year plus current fiscal year
Purchase Orders	<i>Office of The Controller</i>	10 years after completion of contract
Purchasing contracts and agreements	<i>Office of General Counsel</i>	10 years after completion of contract
Purchase supporting documentation (e.g. authorization forms, email, and/or packing slips)	<i>Appropriate Department</i>	3 prior fiscal years plus current fiscal year
Software licenses or discs with serial numbers	<i>Appropriate Department</i>	Indefinite while software is loaded

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION****Real Property**

Documents for leases, licenses, construction contracts and other contracts of a temporary nature valued at less than \$50,000	<i>Facilities Management</i>	10 years after expiration of lease or contract term
Planned Development Records	<i>Facilities Management</i>	Permanent
Property Deeds, Easements, Licenses, Rights of Way, Leases, Rights of First Refusal, Remainder Interests, Mortgages	<i>Facilities Management</i>	Permanent
Right of Way Permits for the Chicago Parking Garages	<i>University Services</i>	3 years
Property Tax Records	<i>Facilities Management</i>	Permanent for documents related to Property Index Number changes and Leaseholds and 6 years for everything else
Title Insurance Policies	<i>Facilities Management</i>	Permanent
Zoning Records (including but not limited to variances, special use)	<i>Facilities Management</i>	Permanent

Sponsored Projects Contracts, Grants

Animal Welfare Records	<i>Office the Institutional Animal Care and Use Committee</i> <i>Center for Comparative Medicine</i>	3 years after the end of the study/protocol
Awarded Grant and Contract Applications, Proposals, Awards, and Supporting Documentation	<i>Office for Sponsored Research</i>	3 years after the final report is submitted to the funding agency, or until final action has been taken on any audit, litigation, or claim.

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

TYPE OF RECORD	OFFICIAL REPOSITORY	DURATION
Human Subject Records	<i>Office of the Institutional Review Board</i>	<p>5 years after study termination or 11 years after initial approval for clinical trials, whichever is longer.</p> <p>If any claim or litigation arises out of the study, records shall be kept until all such claims or litigation have been resolved and final action taken.</p>
Research Data (laboratory notebooks and other records necessary for the reconstruction and evaluation of the reported results of research)	<i>Individual PIs</i>	<p>Minimum of 3 years after the final report is submitted to the funding agency or until final action has been taken on any audit, litigation, or claim, as required by federal regulations (OMB Circular A-110 Sec. 53). Additional Northwestern University policy is under development.</p> <p>See also retention requirements for "Research Misconduct Investigation Documents".</p>
Research Misconduct Investigation Documents	<i>Office for Research Integrity</i>	7 years after completion of the proceeding or, where relevant, completion of any Public Health Service proceeding.
Sponsored Program Documentation	<i>Appropriate Department</i>	3 years after final financial status report is issued or other as mandated by sponsor

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION****Student Affairs**

Adult Health Service Patient Records (non-regulatory)	<i>Health Service</i>	10 years after discharge
Alumni Files	<i>University Career Services</i>	15 years
Billing log and support documentation	<i>Norris Business Operations</i>	5 years
Campus Recruiting Information Forms (CRIF)	<i>University Career Services (Career Management System)</i>	1 year
Career Assessment Inventories	<i>University Career Services</i>	7 years
Cashier daily reconciliations and deposits including copies of checks	<i>Norris Cashiers Office</i>	5 years
Community Assistants Employee Files	<i>University Residential Life</i>	5 years after end of Community Assistants duty
Contracts for student organization events	<i>Norris Center for Student Involvement</i>	3 years after end of contract
Credential Files/Dossier Files	<i>University Career Services</i>	10 years after inactive
Recommendation Files		5 years
Documentation of Norris purchases	<i>Norris Business Operations</i>	5 years
Event or program registration forms appropriate department	<i>Appropriate Norris Department</i>	7 years
Mental Health Records	<i>Counseling and Psychological</i>	10 years from date of last visit
Minor Health Service Patient Records (non-regulatory)	<i>Health Service</i>	Age of Majority plus 10 years
Student Organizations Finance Office (SOFO) Audit Trails and Balance Sheet Reports, Bank Reconciliations and Cancelled Checks, and Transaction Documentation	<i>Norris SOFO</i>	5 years
Specific Insurance for Each Event	<i>Norris Center for Student Involvement</i>	3 years
Student Activities/Programming	<i>University Residential Life</i>	1 year
Student Discipline Records (including matters resolved through University Hearing and Appeals System & Sexual Assault Hearing and Appeals System ; matters resolved administratively; but not including academic misconduct/dishonesty matters)	<i>Office of Judicial Affairs</i>	7 years after graduation (for most incidents) or permanently (for incidents leading to suspension or exclusion)
Student Payroll Applications, Hires and Evaluations	<i>Norris Business Operations</i>	5 years

TYPE OF RECORD**OFFICIAL
REPOSITORY****DURATION**

Student Registration	<i>University Career Services (Career Management System)</i>	6 months post graduation
Waivers for Trips or Risky Activities	<i>Norris Center for Student Involvement</i>	7 years after completion of activity

Tax

Excise Tax Returns	<i>Office of the Controller</i>	7 Years
Income Tax Returns	<i>Office of the Controller</i>	Permanent
Information Returns (990, 1099, 8282, 90.22 etc.)	<i>Office of the Controller</i>	Permanent
Parking Tax Returns	<i>University Services</i>	7 Years
Payroll Tax Returns (W-2, Social Security, Unemployment Tax)	<i>See Payroll Section</i>	
Pension Tax Returns	<i>See Pension Section</i>	
Property Tax Returns	<i>See Real Property Section</i>	
Sales Tax Returns	<i>Office of the Controller</i>	7 Years