ROGER WILLIAMS UNIVERSITY
(Not Including Law School)
RECORDS RETENTION SCHEDULE

Type of Record	Office Repository Principal Office in which Record is Created and Retained Until No Longer Needed by Principal Office	Period of Time Retained Period of Timed During Which Record is Retained by the University Before Being Destroyed, in the Case of Certain Records, or Permanently Retained, either in the University Records Repository or in University Archives, in the Case of Other Records
SECTION I – CORPORATE RECORDS/BOARD RELATIONSHIP TO PRESIDENT		
Articles of Incorporation, Amendments	Secretary of the Board	Permanent
Board of Trustee Minutes and Approved Resolutions (including Board Committee Resolutions and Minutes)	Secretary of the Board	Permanent
Bylaws and Amendments	Secretary to the Board	Permanent
Annual Reports Filed with State	General Counsel	Permanent
Appointment Letter/Contract Pertaining to the President	Secretary to the Board	Permanent
Evaluations and Evaluation Reports Pertaining to the President	Secretary to the Board	3 Years After Appointment as President is Concluded
Search Files for President	General Counsel	3 Years After Appointment of President

SECTION II – OFFICE OF THE PRESIDENT		
Institutional Accreditation (NEASC and Others)	President	Permanent
President's Calendar, Appointment Books, Daily Schedules, Telephone Logs	President	3 years

Submissions for Institutional Accreditation	President	7 years
President's Communications to Board of Trustees	President	Permanent
President's Communications to Other Constituent Bodies or Individuals (including student(s)/Parent(s), faculty, senate, union, etc.)	President	5-- years
President's Internal Directives	President	5 years
President's Communications to University Community	President	5 years
President's OPEDs, Letters to the Editor, Blogs, etc.	President	2 years
President's Report	President	Permanent
President's General Correspondence	President	1 year
Directives/Policies/Procedures/Guidelines/Interpretations of Policies/Decisions Issued or Transmitted by President	President	Permanent
Directives/Policies/Procedures/ Guidelines Issued by Other Authority	Issuing Authority (see below)	Permanent
Cabinet Meeting Minutes	President	3 years

SECTION III – DIVISION OF ACADEMIC AFFAIRS		
SECTION III(A) – ACADEMIC AFFAIRS – OFFICE OF THE PROVOST		
Directives/Policies/Procedures/Guidelines/Interpretations of Policies/Decisions Issued or Transmitted by Provost	Provost	Permanent
Provost's Calendar, Appointment Books, Daily Schedules and Telephone Logs	Provost	3 Years
Faculty Personnel Files (including hire paperwork, appointment letters/contracts, salary records, status changes,	Provost (Professional File) Human Resources (Personnel File)	7 Years after Separation

tenure/promotion, retirement/termination and appointment recommendations		
Articulation Agreements	Provost	Permanent
Grade Reports (grades released to students)	Faculty Member	1 Year After Distribution (final grades); End of Term (interim grades)
Examinations, Answer Sheets, Grade Books, Papers and Projects	Faculty Member	1 Year After End of Academic Term
Theses and Dissertations	University Library	Permanent
Sabbatical Leave file (including application material, approval letter and Report)	Provost	7 Years After Separation from Employment at University
Self-Study Binder for Tenure or Promotion (faculty)	Binder Returned to Faculty Member. Copies of Recommendations by UFRC, FRC, Dean, Provost and President to Professional File with Provost	7 Years After Separation from Employment at University (Copies)
Academic Program Evaluation/Reports	Dean	7 Years after Evaluation
Accreditation Reports (including submissions) Academic School, Departments, Programs	Provost	Permanent
Directives/Policies/Procedures/Guidelines/Interpretations of Policies/Decisions Issued by Dean or Director	Dean or Director	Permanent
Faculty Senate Meetings and Committee agendas, resolutions and minutes (includes documentation of curriculum approval)	Faculty Senate	10 years
SECTION III(B) – ACADEMIC AFFAIRS – OFFICE OF ACADEMIC ADVISEMENT		
Academic Advisement Records	Faculty Member (Advisor)- Until Graduation or Last Attendance of Student, then to Dean	2 Years after Graduation or Last Attendance of Student
SECTION III(C) – OFFICE OF REGISTRAR/STUDENT ACADEMIC RECORDS		

Directives/Policies/Procedures/Guidelines/Interpretation of Policies/Decisions Issued or Transmitted by Registrar or Registrar of Law School	Registrar	Permanent
Academic Discipline (warning, suspension, dismissal)	Registrar	Permanent
Academic Calendar	Registrar	Permanent
Academic Integrity Code Actions --- Violations Found	Registrar	Record of Final Disposition for Offenses that Result in Suspension or Expulsion: Permanent. All Other Records: 7 Years.
Academic Integrity Code Actions – No Violations Found	Provost	Permanent
Academic Personnel Actions – Personnel Files (faculty and other employees in Division of Academic Affairs)	Provost (Professional File) Human Resources (Personnel File)	7 Years After Separation from Employment
Applications for Graduation (degree or other credential)	Registrar	Permanent
Academic Audit Authorizations and Records	Registrar (On-Line)	1 Year After Date Submitted
University Catalogs	Registrar	Permanent
Change of Course Forms-Continuing Education, Summer Sessions, and Extramural Studies	Registrar	Until Graduation
Change to Student University ID number (UID)	Registrar	Permanent
Class Lists (original)	Registrar	Permanent
Class Schedules (individual students)	Registrar	1 Year After Graduation or Last Date of Enrollment
Consent to Release Personally Identifiable Information (Requests for Non-Disclosure)	Registrar	5 Years from Graduation of Date of Last Attendance
Correspondence Relating to Student Admissions (accepted students)	Registrar	5 Years from Graduation or Date of Last Attendance
Course Offerings (institution)	Registrar	Permanent

Credit / no credit approvals (Audit, Pass/Fail, etc.)	Registrar	1 Year after Date Submitted
Classroom Assignment Requests	Registrar	1 Year after Date Submitted
Credit by Examination Records (CLEP)	Registrar	Permanent
Curriculum Change Authorizations	Registrar	5 Years from Graduation or Date of Last Attendance
Diplomas Returned	Registrar	5 Years
Degree, Grade, and Enrollment Statistics	Registrar	Permanent
Disciplinary Records --- Students (findings of violation and related case files)	Vice President for Student Affairs (non-academic); Registrar (academic discipline),	Record of Final Disposition for Offenses that Result in Suspension or Expulsion: Permanent. All Other Records: 7 Years.
Disciplinary Records – Student Exonerated	Vice President for Student Affairs	Destroyed Immediately After Exoneration
Enrollment Verifications	Registrar	1 Year from Enrollment Date
Student Academic Appeals	Registrar	Record of Final Disposition that Results in Academic Suspension or Expulsion: Permanent. All Other Records 7 years
Grade Change Forms	Registrar	Permanent
Grade Reports (Grades Released to Students)	Registrar (final) Faculty Member (interim grades)	1 Year After Distribution (final grades); End of Term (interim grades)
Grade Books/Sheets (Professors)	Professor	5 years
Graduation Lists	Registrar	Permanent
Name Changes	Registrar	Permanent
Recruitment Materials (enrolled students)	Registrar	5 Years After Graduation or Date of Last Attendance
History of Development of School, College, Department, Program or Course	Registrar	Permanent
Residency Certificates (enrolled students)	Registrar	Until Date of Enrollment
Residency Change Documents (Non-resident to Resident)	Registrar	5 Years from Graduation or Date of Last Attendance
Individual ROTC Records	Registrar	Permanent
Schedule of Classes	Registrar	Permanent

(institutional)		
Student Teacher (Credential) Files		Permanent
Student Waivers for Right of Access (enrolled students)	Registrar	Until Graduation or Date of Last Attendance
Suspensions and Dismissals – Academic	Registrar	5 Years from Graduation or Date of Last Attendance
Students' Academic Transcripts	Registrar	Permanent
Continuing Education Course Records	Registrar	7 Years After Course Completed
Transfer Credit Evaluations	Registrar	5 Years from Graduation
Veteran Administration Certifications	Registrar	5 Years from Graduation or Date of Last Attendance
Veterans Benefits	Registrar	Permanent
Withdrawal Authorizations/Leaves of Absence –Graduate and Professional School Students	Registrar	After Graduation or Date of Last Attendance
Withdrawal Authorizations/Leaves of Absence –Undergraduate Students	Registrar	2 Years
University Catalogs	Registrar	Permanent
Commencement Programs	Registrar	Permanent
Student Academic Advisor's Files	Faculty Member (Advisor)	1 Year After Student Graduated or Date of Last Attendance
Field Trip Waivers	School/College/Department	2 Years from Completion of Field Trip
SECTION III(D) – OFFICE OF SPONSORED PROGRAMS, GRANTS AND CONTRACTS		
Directives/Policies/Procedures/Guidelines/Interpretation of Policies/Decisions Issued or Transmitted by Director	Sponsored Programs	Permanent
Grant Effort Reporting a/k/a Time and Efforts Reports)	Finance	7 Years
Grant Reports (Including progress and final reports)	Sponsored Programs	7 years
Indirect Cost Rate Calculations	Finance	7 Years
Grant and Contract Applications, Proposals, and Supporting Documentation	Sponsored Programs	7 Years After Close of Grant or Longer if Required by Granting Agency

Conflict of Interest Forms for Grants/Contracts	Sponsored Programs	7 Years After Close of Grant or Contract
Records Concerning Human and Animal Subjects	IACUC and HSRB Committees Programs	7 Years After Completion of Study
Award Documents and Amendments	Sponsored Programs (Official Copies with OGC)	7 Years After Close of Grant or Contract
Grant Progress and Final Reports	Sponsored Programs	7 Years After Close of Grant or Contract
Time and Effort Reports	Finance	7 Years After Close of Grant or Contract
SECTION III(E) – LIBRARY		
rectives/Policies/Procedures/ Guidelines/Interpretations of Policies/Decisions Issued or Transmitted by Dean	Dean	Permanent
Circulation Records	University Library	3 Years
Collection Records	University Library	3 Years
Exhibit and Event Records	University Library	Permanent
Inter-Library Loans	University Library	3 Years
Annual Report	Dean	Permanent
Gifts-in-Kind	University Library	Permanent
Consortium and Integrated Library System Agreements	Dean	Permanent
Survey Findings	University Library	5 Years
Theses and Dissertations	University Library	Permanent
SECTION III(F) – LEARNING CENTER		
Learning Disability Records	Student Accessibility Services	3 Years After Graduation or Date of Last Attendance

SECTION IV – DIVISION OF ENROLLMENT MANAGEMENT AND FINANCIAL AID		
SECTION IV(A) – OFFICE OF VICE PRESIDENT FOR ENROLLMENT MANAGEMENT		
Directives/Policies/Procedures/Guidelines/Interpretation of Policies/Decisions Issued or Transmitted by Vice President	Vice President	Permanent
SECTION IV(B) – OFFICE OF ADMISSIONS		

Admissions Documents for Domestic Applicants Who Enroll (includes admission letters, relevant correspondence, letters of recommendation, test reports, medical records, military documents, residency classification, transcripts)	Registrar	Until Graduation or Date of Last Attendance
Admission Documents for International Applicants Who Enroll (includes documents listed for domestic applicants and Alien Registration Card, work permit, I-20, I-94, passport number, statement of financial responsibility and DS-2019)	Registrar	5 Years form Graduation or Date of Last Attendance
Visit Cards	Admissions	1 Year
SECTION IV(C) – OFFICE OF FINANCIAL AID		
Financial Aid Records (applicants who enroll), including Federal Perkins Loan Records	Student Financial Aid	5 Years After the End of the Award Period
Student Financial Aid Program Records (including accrediting and licensing agency review, approvals and reports; audit reports and University responses; reports related to financial responsibility and administrative capability; Program Participation Agreement; self-evaluation and State agency reports)	Student Financial Aid	3 Years After Award Year
Student Financial Aid Fiscal Records (including bank statements; federal work-study payroll records; ledgers identifying student financial aid transactions; records of student accounts; records supporting data on required reports)	Student Financial Aid	3 Years After Award Year
Student Financial Aid Recipient Records (including applications made to Dept. of	Student Financial Aid	3 Years After Award Year

Education or lender on behalf of student; data used to establish student's status at University; date and amounts of disbursements; documentation of student's eligibility for assistance and academic program and progress; documentation as to amount of grant and calculations used to determine amount of grant; initial or exit loan counseling; documents used to verify data; history of support for transfer students; SAR and ISIR reports)		
Student Financial Aid Requirements for Specific Aid (including borrower's eligibility records; campus based aid [Perkins Loan, SEOG, Federal Work Study] FFEL and Direct Loans; Fiscal Operations Report; Pell Grant)	Student Financial Aid	3 Years After Date of Award

SECTION V – DIVISION OF STUDENT AFFAIRS		
SECTION V(A) – OFFICE OF VICE PRESIDENT FOR STUDENT AFFAIRS		
Directives/Policies/Procedures/Guidelines/Interpretation of Policies/Decisions Issued or Transmitted by the Vice President	Vice President for Student Affairs	Permanent
Directives/Policies/Procedures/Guidelines/Interpretation of Policies/Decisions Issued or Transmitted by the Dean of Students or Directors	Vice President for Student Affairs	Permanent
Annual Report	Vice President for Student Affairs	Permanent
FERPA Records (requests for formal hearings, requests for disclosure/non-disclosure and disclosure of personally identifiable information, student statement on contents of record of results of hearing,	Dean of Students	Permanent --- As Long as the Underlying Record is Maintained

consents for records disclosure, waiver of right access, written decisions of hearing panels)		
SECTION V(B) – OFFICE OF STUDENT CONDUCT		
Disciplinary Records --- Students (findings and related case files)	Student Conduct & Community Standards (non-academic); Registrar (academic)	Record of Final Disposition and case files for Offenses that Result in Suspension or Expulsion: Permanent. All Other Records: 7 Years.
Student Disciplinary Records	Student Conduct & Community Standards	See Above
Housing Records	Student Housing	5 Years After Graduation or Date of Last Attendance
SECTION V(C) – STUDENT HEALTH RECORDS		
Patient Medical Records	Student Health Services	7 Years After Final Treatment
Patient Medical Records	Counseling Center	7 Years After Final Treatment
Patient Medical Records	Athletic Training Room	5 Years After Graduation or Date of Last Attendance
SECTION V(D) – ATHLETICS		
Admissions Data for Athletes who enroll	Coach of Team	1 Year After Graduation or Date of Last Attendance
Admissions Data for Athletes who do not enroll, whether accepted or rejected	Coach of Team	3 years
Athletic Eligibility Documents	Athletics, Intramural and Recreation	1 Year After Certification
Athletic Participation (EADA Documents) (Fed Disclosure requirement)	Athletics, Intramural and Recreation	3 Years From Date of Disclosure
Competition Records (intercollegiate)	Athletics, Intramural and Recreation	Permanent
Competition Records (intramural)	Athletics, Intramural and Recreation	3 Years
NCAA Reports (including athletic aid eligibility, preseason paperwork)	Athletics, Intramural and Recreation	Permanent
Gender Equity Reports	Athletics, Intramural and Recreation	Permanent

Racial/Ethnic Statistics	Athletics, Intramural and Recreation	Permanent
Sports Information	Athletics, Intramural and Recreation	3 Years
SECTION V(E) – STUDENT ADVISING AND COUNSELING RECORDS (HEALTH RELATED)		
Individual Counseling and Advising Records (Confidential)	Counseling Office	7 Years After Final Session
SECTION V(F) – CONFERENCES AND SUMMER PROGRAMS		
Use of University Facilities by Outside Entities, Requests and Contracts	Director of Conferences	7 years

SECTION VI – DIVISION OF FINANCE AND ADMINISTRATION		
SECTION VI(A) – OFFICE OF EXECUTIVE VICE PRESIDENT		
Directives/Policies/Procedures/Guidelines/Interpretation of Policies/Decisions Issued or Transmitted by the Vice President	Executive Vice President for Finance & Administration	Permanent
Executive Vice President's Calendar, Appointment Books, Daily Schedules and Telephone Logs	Executive Vice President for Finance & Administration	3 years
Annual Financial Reports and Work Papers	Vice President for Accounting & Treasury Management	7 Years
University Audit Work Papers	Vice President for Accounting & Treasury Management	7 Years
University Audits (internal and external)	Vice President for Accounting & Treasury Management	Permanent
Final Budget Documents	Executive Vice President for Finance & Administration	Permanent
Bond Issue Books	Executive Vice President for Finance & Administration	Permanent
Bond Books and Records Necessary to Substantiate Compliance	Vice President for Accounting & Treasury Management	3 Years After Bond Satisfied (Including the Life of Any Bond Refunding the Bonds)
Property Tax and PILOT Returns, payments filed with	Vice President for Accounting & Treasury Management	7 Years

taxing jurisdiction		
Excise Tax Returns	Vice President for Accounting & Treasury Management	7 Years
Property Taxes and PILOT payments	Vice President for Accounting & Treasury Management	Permanent
SECTION VI(B) – ACCOUNTING AND FINANCE		
Account Reconciliations (Balance Sheet)	Office of Accounting & Treasury Management	7 Years
Accounts Payable Vouchers and Attachments	Accounts Payable	7 Years
Accounts Receivable Statements, Centrally Generated	Accounts Receivable	7 Years
Accounts Receivable	Accounts Receivable	7 Years
Banking Records, Including Deposit and Withdrawal Records, Bank Statements and Reconciliation, Voided and Canceled checks	Vice President for Accounting & Treasury Management	7 Years
Billing Records	Accounts Receivable	7 Years
Depreciation Records	Vice President for Accounting & Treasury Management	Life of Asset Plus 7 Years
Journal Entries (including interdepartmental billings/transfers)	Vice President for Accounting & Treasury Management	7 Years
New Account Records and Back-up Documentation	Vice President for Accounting & Treasury Management	7 Years After Account Closing
Procurement Card Charge Documentation	Vice President for Accounting & Treasury Management	7 Years
Travel Reimbursements and Attachments	Accounts Payable	7 Years
Information Returns (IRS Form 1099, etc.)	Vice President for Accounting & Treasury Management	7 Years
Annual Tax Filing for the Organization (IRS Form 990)	Vice President for Accounting & Treasury Management	Permanent
Sales Tax Returns	Vice President for Accounting & Treasury Management	7 Years
SECTION VI(C) – OFFICE OF HUMAN RESOURCES		

Human Resources Directives/Policies/Procedures/Guidelines/Interpretations of Policies/Decisions Issued or Transmitted by Director	Assistant Vice President for Human Resources	Permanent
Academic Personnel Actions – Personnel Files (faculty and other employees in Division of Academic Affairs)	Office of the Provost (Professional File --- faculty) Human Resources (Personnel File)	See Provost 7 Years After Separation from Employment
Certificates of Insurance, Indemnification agreements, Contracts and Insurance Policies for Benefits	Human Resources	Permanent
Deceased Employee Claims	Human Resources	7 Years After Date of Death
Employee Personnel Files,Faculty and Staff (including application, resume, appointment/salary forms, performance appraisal forms for staff, benefits enrollment and application forms, beneficiary designations and benefit related communications, leaves of absence, disability related forms and communications, retirement plan distribution requests)	Human Resources	7 Years After Separation from Employment
Faculty and Staff Benefits Handbook	Human Resources	Permanent
Federal Reporting Requirements: Welfare Benefits and other Fringe Benefit Plans (i.e., 5500 filings)	Office of General Counsel	Permanent
Files for Disabled Employees	Human Resources	7 Years After Benefits End
I–9 Forms (Faculty, Staff and Students)	Human Resources	3 Years After Employment Date, or 1 Year after Termination (whichever is greater)

Records Covered Under HIPAA	Human Resources	7 Years After Separation from Employment
Search Committee Records, including advertisements/postings, employment applications, resumes, and all applicant search materials	Human Resources	1 Year from Date of Employment
Severance Agreements (employees)	Office of General Counsel	7 Years After Separation from Employment or Final Payment, Whichever is Later
Retirement Applications/Agreements	Office of General Counsel	7 Years After Retirement Date
SECTION VI(D) – EQUAL OPPORTUNITY/AFFIRMATIVE ACTION/DISABILITY		
EEO/Diversity Statistics	Human Resources	7 Years
Annual Employee Notification of Policies	Human Resources	7 years
Federal and State Required Statistics and Reports Regarding Employment	Institutional Research	7 Years
Search Materials and Documents Supporting Hiring Selection Decisions (Non-Academic Personnel)	Human Resources	1 Years from Date of Appointment
Search Materials and Documents Supporting Hiring Selection Decisions Academic Personnel)	Provost	1 Years from Date of Appointment
SECTION VI(E) – OFFICE OF PURCHASING		
Warranties	Purchasing	At Date of Expiration
Purchase Orders, Contracts, Purchase Agreements	Purchasing	Until Contract Has Been Fully Performed Plus 4 Years
RFQ, RFP and Bids	Purchasing	7 years
SECTION VI(F) – PAYROLL OFFICE		

Annual Payment Records	Payroll	7 Years
Information Returns filed with Federal and State authorities (W-2, 941, 1042S, etc.)	Payroll	7 years
Payroll Deduction Authorization Forms (W4, ACH, Bonds)	Payroll	5 Years After Employment Ends
Payroll Vouchers	Payroll	7 years
Record of Payments and Deductions (payroll registers, deductions lists, adjustments)	Payroll	7 years
Employee Reporting Forms --- Time Cards, electronic reports, student employment time records	Appropriate Department	3 Years After Pay Date
Employee Reporting Forms --- Time Cards, non-student	Appropriate Department	3 Years
Garnishments/Wage Levies/Child Support	Payroll	Active + 6 Years
Tax Reporting	Payroll	7 Years
SECTION VI(G) – OFFICE OF CONSTRUCTION AND FACILITIES MANAGEMENT		
Capital Equipment Records	Facilities Management	Life of Asset: records of equipment purchased on federal funds must be retained for three years after final disposition
Inventories (Asset Control Sheets)	Purchasing	Life of Asset
As–built Drawings	Facilities Management	Permanent
Contracts and Agreements	Office of General Counsel/Facuilities Management	Life of Contract Plus 4 years
Records of Repairs (Maintenance /Service Records)	Facilities Management	Life of Asset Plus 4 Years
Surplus Property Disposal	Purchasing/Purchasing	3 years
Work Orders	Facilities Management	3 years
SECTION VI(H) – OFFICE OF INFORMATION TECHNOLOGY		
Software Inventory	Information Technology	Life of Asset Plus 4 Years

Computer/Software Licenses	Information Technology	Term of License and 4 Years
Computer System Access Requests	Information Technology	Termination of Employment plus 3 Years
Network, Server and Application Access Logs	Information Technology	6 months
IT Contracts	Information Technology	Life of Contract plus 3 Years
Passwords/Telephone Authorization	Information Technology	3 years
Disaster Recovery Plan	Information Technology	Test and Update Bi-Annually
Backup Plan	Information Technology	Complete Set of Tapes at DR Location
Cloud –Based Services	Information Technology	Contractually with Each Vendor
SECTION VI(I) – BURSAR OFFICE		
Cash Receipts	Cashier	7 Years

SECTION VII – GENERAL COUNSEL, LEGAL AFFAIRS AND COLLECTIVE BARGAINING		
SECTION VII(A) – OFFICE OF GENERAL COUNSEL		
Annual Conflict of Interest Disclosure Statements	General Counsel	5 Years
Annual Conflict of Interest Disclosure Statements	General Counsel	7 Years
Formal Legal Opinions	General Counsel	Permanent
Correspondence Containing Significant Information	General Counsel	Permanent
General or Routine Correspondence	General Counsel	Need Not be Retained
Calendar, Appointment Books, Daily Schedules, Telephone Logs	General Counsel	3 years
SECTION VII(B) – CONTRACTS, AGREEMENTS AND LICENSES		
Union Agreements	General Counsel	Permanent
FCC Licenses	General Counsel	Term of License and 3 Years
SECTION VII(C) – LITIGATION		
Consent Orders	General Counsel	Permanent

Court Orders	General Counsel	Permanent
Judgments	General Counsel	Permanent
Releases	General Counsel	Permanent
Settlements (non-employee)	General Counsel	Permanent
Formal Contracts	General Counsel	Permanent
Litigation Files	General Counsel	Permanent
Subpoenas (Institutional)	General Counsel	2 years after conclusion of litigation
Pre-Litigation Evidence Files (No Litigation Filed)	General Counsel	6 years
SECTION VII(D) – GRIEVANCES AND ARBITRATIONS		
Union Grievance Files	General Counsel	Permanent
SECTION VII(E) – WORKERS COMPENSATION, UNEMPLOYMENT CLAIMS		
Disability, Liability, Personal Injury, Professional Liability, Property Insurance Claims	General Counsel	3 Years Unless Consolidated into Formal Claim
Workers Compensation Claims	General Counsel	3 years After Final Determination
Unemployment Insurance Claims	General Counsel	3 years After Final Determination
SECTION VII(F) – PATIENT, TRADEMARK AND COPYRIGHT		
Copyright and Trademark Registrations	General Counsel	Permanent
Invention Assignment Forms	General Counsel	Permanent
Licensing Agreements	General Counsel	Term of License and 3 Years
Original Patents and Related Work Papers	General Counsel	Permanent
Royalty Records	General Counsel	Life of Patent or TM plus 7 years
Invention Disclosure Package	General Counsel	2 years
SECTION VII(G) – OFFICE OF RISK MANAGEMENT		
Directives/Policies/Procedures/Guidelines/Interpretations of Policies/Decisions Issued or Transmitted by Risk Manager	Risk Management	Permanent

Occupational Injury or Illness, Records Relating to Employment	Risk Management	5 Years
Certificates of Insurance, Indemnification Agreements, Hold Harmless Agreements, Contracts	Risk Management	7 Years After Expiration
Insurance Policies (Liability, Property, and Other Policies)	Risk Management	Permanent
Incident Reports, Accident Reports	Risk Management	7 Years After Report Date
Insurance Policies (disability, liability, personal injury, professional liability and property)	Risk Management	Permanent
Required Reports to Outside Agencies	Risk Management	6 Years
SECTION VII(H)– COMPLAINTS AND DISPOSITION OF CASES – DISCRIMINATION AND HARASSMENT		
Complaints and Disposition of Cases of Unlawful Discrimination and Harassment	General Counsel	Permanent
Investigation Reports Related to Claims of Discrimination and Harassment (No Cause Found)	General Counsel	2 Years
SECTION VII(I)– REAL PROPERTY MATTERS		
Permits	General Counsel	Life of Permit and 3 Years
Property Deeds, Easements, Licenses, Rights of Way, Leases, Rights of First Refusal, Remainder Interests, Mortgages	General Counsel	Permanent

SECTION VIII – DIVISION OF ADVANCEMENT & ALUMNI AFFAIRS		
SECTION VIII(A) –OFFICE OF VICE PRESIDENT FOR ADVANCEMENT & ALUMNI AFFAIRS		
Directives/Policies/Procedures/Guidelines/Interpretations of Policies/Decisions Issued or	Advancement	Permanent

Transmitted by Vice President		
Mailing and Distribution Lists	Advancement	2 Years After Superseded
SECTION VIII(B) – OFFICE OF ALUMNI RELATIONS		
Alumni Records	Alumni	Permanent
SECTION VIII(C) –GIFT RECORDS		
Gift Records	Advancement	7 years
Original Gift Letter Agreements, All others	Advancement	Permanent
Donor Files	Advancement	2 Years After Superseded
Planned Gifts (trusts, life income, agreements, annuities) Real Estate Gifts	Advancement	Permanent

SECTION IX – DIVISION OF MARKETING AND COMMUNICATIONS		
Directives/Policies/Procedures/Guidelines/interpretation of Policies/Decisions Issued or Transmitted by Vice President	Vice President for Marketing & Communications	Permanent
Newsletters, Publications	Public Relations	3 Years
Public Relations Material (press releases, newspaper clippings, promotional material, brochures)	Public Relations	3 Years
Advertising Copy	Public Relations	6 Months
Publications Regarding Graduation, Homecoming, Employee Recognition, etc.	Public Relations	6 Months After Use
Photos, Slides, Videotapes, Audio Tapes, Etc.	Public Relations	6 Months After Use
Mailing or Distribution Lists	Public Relations	3 Years

SECTION X – DIVISION OF UNIVERSITY OUTREACH AND ENGAGEMENT		
OFICE OF THE VICE PRESIDENT FOR UNIVERSITY OUTREACH & ENGAGEMENT		
Directives/Policies/Procedures/ Guidelines/ Interpretation of Policies/Decisions Issued or Transmitted by the Vice	Vice President	Permanent

President		
Contracts, Agreements, Partnerships and Memoranda of Understanding with External Entities	General Counsel	Permanent
Career Counseling Record	Career Counseling Center	7 Years
SECTION XI – OFFICE OF INSTITUTIONAL RESEARCH		
Directives/Policies/Procedures/Guidelines/Interpretations of Policies/Decisions Issued or Transmitted by Director	Institutional Research	Permanent
Institutional Reports	Institutional Research	Permanent
Surveys and Questionnaires Prepared for External Audiences	Institutional Research	10 Years
Enrollment Statistics	Institutional Research	Permanent
Diversity Reporting	Institutional Research	Permanent
Documents Collected for NEASC	Institutional Research	3 Years from Submission of Self-Study
Surveys, Questionnaires and Data Collections Prepared by University	Institutional Research and Office Responsible for Subject Matter	2 Years
Course Evaluations	Institutional Research	Permanent
Ad hoc Requests from University Community	Institutional Research	Permanent

SECTION XII – DEPARTMENT OF PUBLIC SAFETY		
SECTION XII(A) – DEPARTMENT OF PUBLIC SAFETY – DIRECTOR OF PUBLIC SAFETY		
Directives/Policies/Procedures/Guidelines/Interpretation of Policies/Decisions Issued or Transmitted by Director	Public Safety	Permanent

SECTION XII(B) – INCIDENT/CRIMINAL ACTIVITY		
Accident/Incident Reports	Public Safety	7 Years After Report Date
Crime Statistics/Security Reports – Clery Act (Fed Required Disclosure)	Public Safety	7 Years After Report Date
Daily Log/Incident Reports	Public Safety	Permanent
Property Damage Reports	Public Safety	7 Years After Report Date
Criminal Files --- Adults	Public Safety	10 Years After Expiration of Sentence or 5 Years After Case is Closed
Criminal Files --- Juvenile	Public Safety	Until Subject is 20 Years Old
Lost and Found Logs	Public Safety	6 Months
SECTION XII(C) – TRAFFIC AND PARKING		
Traffic Rules and Regulations	Public Safety	Permanent
Traffic Citations	Public Safety	3 Years
Traffic Registrations (vehicles registered by employees and students, with parking lot authorizations)	Public Safety	3 Years
SECTION XII(D) – BUILDING KEY RECORDS		
Building Key Records (requests, assignments, lost keys, etc.)	Lock Shop	10 Years

SECTION XIII – ENVIRONMENTAL HEALTH AND SAFETY (SEE ALSO RISK MANAGEMENT)		
Directives / Policies / Procedures / Guidelines / Interpretation of Policies / Decisions Issued or Transmitted by Office	Environmental Health and Safety	Permanent
SECTION XIII(A) – REPORTS AND REQUIRED RECORDS		
Agency Inspection Records	Environmental Health and Safety	3-5 Years
Annual Reports	Environmental Health and Safety	Permanent
Asbestos Survey Records	Environmental Health and Safety	For the life of the building
Confined Space Entry Permits	Environmental Health and Safety	1 Year
Employee Tenant Asbestos Notification (Annual)	Environmental Health and Safety	As long as Asbestos Containing Material (ACM) is in building
Environmental Remediation Records	Environmental Health and Safety	10 Years
Hazardous Waste Disposal Manifests and Reports	Environmental Health and Safety	5 Years – 30 Years (Asbestos)

Hazardous Waste Training Records	Environmental Health and Safety	3 Years after Last Date of Employment
Fume Hood Testing Records	Environmental Health and Safety	For life of Equipment (OSHA Technical Manual Best Practice)
Inspection Reports and Incident Reports	Environmental Health and Safety	5 Years
Laboratory Analysis for Hazardous Waste Determinations	Environmental Health and Safety	For 5 years after last shipment of that waste stream
Lead Notification and Disclosure for employees residing in pre-1978 buildings) (Annual)	Environmental Health and Safety	3 Years
Lead Survey Records	Environmental Health and Safety	For the life of the building
Medical Waste Generator Records	Environmental Health and Safety	375 days from shipment date
Personal Exposure Monitoring	Environmental Health and Safety	30 Years after Last Date of Employment
Pesticide Private Applicator License and Continuing Education Records	Environmental Health and Safety	5 Years (submit records to RIDEM at end of 5 year period to receive new license)
Pesticide Private Application Reports (Yearly Application)	Environmental Health and Safety	2 Years from Each Application Date
Respirator Fit Testing Records	Environmental Health and Safety	Until next fit test is administered (annually)
Student Training Records	Environmental Health and Safety	3 Years
Training Reports	Environmental Health and Safety	As required by OSHA (varies by standard)
Wastewater quarterly testing results (Town of Bristol Wastewater Permit)	Environmental Health and Safety	As determined by Town of Bristol
Wastewater quarterly testing and septic system inspection and maintenance records (Baypoint)	Environmental Health and Safety	As determined by Town of Portsmouth