

Record Retention Guidelines

Updated May 17, 2006

All records made or received by employees of the Institute in the course of their employment are the property of the Institute. Records shall not be destroyed or disposed of unless the appropriate Institute personnel has determined that the records have no further legal, fiscal, research, or other value or their retention dates have expired. This determination is obtained by a Institute department completing a Records Destruction Form and having that request approved by the appropriate Institute personnel.

Retention schedules are shown below, arranged by the department that is chiefly available for the creation and/or maintenance of the referenced files.

The schedules are arranged by department:

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ACADEMIC AFFAIRS	
Accreditation records for institutional or program accreditation, including but not limited to correspondence, reports, questionnaires, guides and related documents between the Institute and accrediting bodies. (ABET)	PERMANENT
Academic program proposals including requests for approval of changes in program title, HEGIS (Higher Education General Information System -- Federal Code) content, credit hours, curricular content, format, and/or resource commitment	
<ul style="list-style-type: none"> For successful registration of program 	PERMANENT
<ul style="list-style-type: none"> For failed proposal 	0 after no longer needed
Curriculum/program registration records	PERMANENT
Institutional evaluation files , reports, and determination resulting from on-site visits for evaluation including the Institute's response to deficiencies noted in the determination letter	PERMANENT
Chartering documents concerning the Institute's legal status and degree-granting authority	PERMANENT
Department educational or academic course information files	
<ul style="list-style-type: none"> Official copy of any literature or other material made available to the public 	PERMANENT
<ul style="list-style-type: none"> File on each instructional course or program 	6 years after course or program discontinued

Curriculum and Instruction	
<ul style="list-style-type: none"> Development records including but not limited to course worksheets, evaluations, and recommendations: 	7 years
<ul style="list-style-type: none"> Course listing created for administrative convenience, containing department list of classes 	0 after superseded
<ul style="list-style-type: none"> Course syllabus 	6 years
<ul style="list-style-type: none"> Grade book or listing including class number and title, location, date and time class meets, student attendance, test grades, and final grade 	PERMANENT
<ul style="list-style-type: none"> List of students majoring in a field of study 	0 after superseded
<ul style="list-style-type: none"> Class schedule including class title, location, dates, and time of meeting 	6 years
<ul style="list-style-type: none"> Final examinations (completed) 	1 year
<ul style="list-style-type: none"> Final examination questions 	10 years
<ul style="list-style-type: none"> Evaluations of course instructor 	6 years
Minutes and other materials pertaining to Faculty Affairs are maintained in the Office of Academic Affairs.	PERMANENT

ADMISSIONS	
Application Materials (undergraduate and graduate admission)	
<ul style="list-style-type: none"> • Successful applicants <p>NOTE: On matriculation, applications and copies of high school transcripts (and Institute transcripts for transfers) are transferred to the Registrar's Office from the Office of Admission. Confidential letters of recommendation supplied for admission purposes, interview notes and decision notes are destroyed. On matriculation, copies of graduate transcripts and relevant letters are transferred to the Registrar's Office from the Office of Graduate Studies. Upon graduation or one year after the student leaves the Institute, the above records are microfilmed and kept as permanent records.</p>	PERMANENT
<ul style="list-style-type: none"> • Unsuccessful applicants or successful applicants requesting a deferral 	3 years following year of application unless reactivated at applicant's request

ALUMNI	
Alumni association file containing records concerning its relations with the Institute	
<ul style="list-style-type: none"> • Significant correspondence or records relating to decision-making or policy 	PERMANENT
<ul style="list-style-type: none"> • Routine correspondence and related materials 	1 year
Alumni directory including but not limited to name, address, occupation, degree attained, marital status, and financial contributions of alumni	0 after superseded or obsolete

ATHLETICS	
Player recruitment/scouting file concerning recruitment of student athletes for Institute sports programs, including but not limited to scouting reports, lists of prospects, recruitment proposals, and correspondence	
<ul style="list-style-type: none"> For student athletes entering Institute 	3 years after graduation or date of last attendance
<ul style="list-style-type: none"> For student athletes who do not enter Institute 	0 after no longer needed
Scouting reports relating to opposing teams	0 after no longer needed
Special event file	
<ul style="list-style-type: none"> Official copy of any program or promotional literature or photograph of events or games 	PERMANENT
<ul style="list-style-type: none"> Background materials and supporting documentation 	6 years
<p>Athletic program records</p> <p>NOTE: These records may have continuing value for historical or other research, subject to the access restrictions of the Family Education Rights and Privacy Act.</p>	6 years
Athletic health information report determining student eligibility to participate in campus sports activities	6 years
Parental consent record	6 years

BUSINESS OFFICE	
General ledger showing summary receipts and disbursements from all funds and accounts	10 years
Subsidiary ledger providing details of the general ledger accounts	6 years after last entry
Journal recording chronological entries of all fiscal transactions	
<ul style="list-style-type: none"> • With detailed entries that include information on payee or payor and purpose 	PERMANENT
<ul style="list-style-type: none"> • Citing only receipt or voucher number 	6 years after last entry
Accounting register, including but not limited to check register, transfer of funds register, encumbrance register, and register of claims presented for payment and paid claims	6 years after last entry
Cash transaction record showing cash received from collection of various fees and petty cash disbursed	6 years
Notice of encumbrance indicating funds encumbered and amount remaining unencumbered	6 years
Past due account fiscal records and summaries	6 years after account is satisfied or closed
Intermediary fiscal record of receipts and disbursements, including but not limited to detail record, analysis, proof sheet or trial balance worksheet, and adding machine tapes	
Abstract of receipts, disbursements, or claims	6 years
Employee expense reports are maintained in number order and can also be retrieved by employee name. Individual departments have access to departmental expense reports on request and need not maintain departmental copies beyond the completion of the annual audit unless such records are used frequently by the department.	4 years

Banking communications, including but not limited to bank statement, reconciliation, notification of voiding or return of check, cancellation of payment, or other notice for checking or savings account	6 years
Canceled check, or other instrument of payment, such as bank check, warrant check, order check, or order to fiscal officer to pay when used as a negotiable instrument, including voided check NOTE: It is recommended that a list of destroyed unused checks be created and maintained for legal or audit purposes.	6 years
Copy of check or check stub	6 years
Deposit book for checking account	6 years after date of most recent entry
Deposit book for savings account	6 years after cancellation
Deposit slips	6 years
Billing records covering "chargebacks" or services provided by the Institute	
<ul style="list-style-type: none"> • Student's individual account 	6 years after last entry
<ul style="list-style-type: none"> • Vendor's account 	6 years after last entry

DEVELOPMENT	
Special gifts file documenting each non-routine gift to the Institute including but not limited to correspondence, agreements, stipulations, descriptions of gifts, and accession information	PERMANENT
Summary donor file containing lists of individuals, organizations, or corporations that have donated funds, works of art, or property to the Institute	0 after superseded

FACILITIES	
Logs of service requests and computer record of requested and completed service requests	3 years
Original and current blueprints of all buildings on campus	PERMANENT

FINANCIAL AID	
Student financial aid folder including but not limited to a Financial Aid Form (FAF), applications for assistance, copies of income tax forms, financial aid transcripts from other schools, award and declination notices, verifications for non taxable income, instructor requests for Work Study Student, student job description, and copies of time sheets to verify hours with student schedule	6 years
Records of students receiving loans	5 years after final payment is made
Student employment records:	
<ul style="list-style-type: none"> • Applications for student employment 	1 year after student is notified of the employment decision
<ul style="list-style-type: none"> • Materials pertaining to student employment 	3 years after the student's employment ends
Statistical reports relating to enrollment, ethnicity, degrees and grades	PERMANENT
Scholarship file including but not limited to applications, recommendations, authorization of awards, financial statements, accounting data, and correspondence	6 years

HUMAN RESOURCES	
Individual complaint or problem case file involving discrimination, equal employment or sexual harassment	6 years after last entry
Summary record for individual case and/or master summary record of all cases	PERMANENT
Biannual Federal statistical report (EEO-6 form) relating to ethnic, racial, gender, position, and salary composition of the work force	PERMANENT
Search Materials For Faculty And Exempt Employees	
<ul style="list-style-type: none"> All applications and other pertinent search materials (e.g., rating forms, interview schedules, references, etc.) are destroyed three years from the date the successful applicant is hired or from the date the search is closed if no one is hired. Departmental copies of affirmative action reports are retained separately from the successful applicant's departmental file. 	3 years from the date successful applicant is hired or from the date the search is closed
<ul style="list-style-type: none"> The original of the affirmative action report (including attachments such as the ad copy) is retained by the Affirmative Action Officer for three years from the date the report is approved. After that time, records are microfilmed and retained permanently. 	PERMANENT
Search Materials For Non-Exempt Employees	
<ul style="list-style-type: none"> Departmental offices retain only the successful applicant's application or resume during that person's employment in the department. 	3 years from the date successful applicant is hired or from the date the search is closed
<ul style="list-style-type: none"> All materials pertaining to searches for non-exempt employees are retained in the Human Resources office. After that time, materials are reviewed and portions of the materials are retained. 	PERMANENT

Summary report, record of payroll, or time information covering all employees or an individual employee	6 years
Summary record of employee's payroll changes	6 years after termination of employment
Employee's time cards, sheets, or books.	6 years
Record of employee absences or accruals. NOTE: This item does not apply to an employee's time cards or sheets.	6 years
Employee request for and/or authorization given to employee to use sick, vacation, personal or other leave, or to work overtime	6 years
Record of assignments, attachments, and garnishments of employee's salary	
<ul style="list-style-type: none"> When employment was terminated prior to satisfaction 	6 years after termination of employment
<ul style="list-style-type: none"> When satisfied 	5 years after satisfaction
Employee's voluntary payroll deduction request form	5 years after superseding form is filed, authorization expires, or employment is terminated
Employee's personal earnings record used to prove end-of-year total earnings, retirement or other deductions and taxes withheld	6 years
Employee's declaration of intention to accept or reject Social Security	10 years after employee dies or reaches age 75, whichever is shorter
Quarterly report of wages paid prepared for Social Security, and report of any adjustments or corrections	6 years after year in which wages were reported

Copy of Federal determination of error in wage reports (Form OAR-S30 or equivalent record)	6 years after determination received
Employee's Withholding Exemption Certificate (Form W-4), or equivalent form	5 years after a superseding certificate is filed or employment is terminated
Employer's copy of Indiana State income tax records relating to employees	5 years after tax was paid
Personnel records of employees (includes exempt and non-exempt staff)	
After staff member has left the Institute, files are transferred to the Office of Human Resources	6 months after departure
<ul style="list-style-type: none"> • Master summary record from personnel case file 	PERMANENT
<ul style="list-style-type: none"> • Personnel case file materials, except summary information record, and including but not limited to application for employment, resume, report of personnel change, evaluation, notice of resignation or termination, and correspondence 	10 years after termination of employment
Investigative records and disciplinary proceedings, including but not limited to statement of charge, transcript of hearing, notice of decision, letter of termination or resignation, letter of reinstatement, record of appeal procedure, and correspondence	3 years after final decision rendered
Employee's time records covering leave, absences, hours worked and scheduling, and including but not limited to employee's time cards or sheets, request for change of work schedule, vacation schedule, report of absence and request for leave without pay	6 years
Administrative organization chart and related records showing administrative and supervisory organization	PERMANENT

Health and life insurance records	
<ul style="list-style-type: none"> For employee with no dependent survivor 	3 years after termination of employee's coverage
<ul style="list-style-type: none"> For employee with dependent survivor 	3 years after termination of dependent survivor's coverage
<ul style="list-style-type: none"> Claim for benefits (copy, where original is submitted directly by employee) 	1 year
<ul style="list-style-type: none"> Health and life insurance coverage reports 	6 years
<ul style="list-style-type: none"> Declination statement filed by employee 	0 after separation from service
Unemployment insurance records	
<ul style="list-style-type: none"> Claim filed by employee, when claim is approved 	6 years after final payment
<ul style="list-style-type: none"> Claim filed by employee, when claim is disqualified 	3 years after filing
<ul style="list-style-type: none"> Claim payment reports 	6 years
Personnel records of faculty	
<ul style="list-style-type: none"> After a faculty member has left the Institute, all files will be transferred to the Office of the Provost 	6 months after departure
<ul style="list-style-type: none"> Master summary records from personnel file 	PERMANENT

<ul style="list-style-type: none"> Personnel case file materials, except summary information record, and including but not limited to application for employment, resume, report of personnel change, evaluation, notice of resignation or termination, and correspondence 	10 years after termination of employment
Personnel Action Forms (PAFs)	
<ul style="list-style-type: none"> Department maintenance of PAFs 	1 year
<ul style="list-style-type: none"> Office of Human Resources maintenance of PAFs 	10 years

IAIT

<p>Electronic data processing planning, development, management, review and evaluation records documenting implementation, upgrading and use of equipment and systems, including feasibility studies; systems justification; long range planning records; manual of procedures; development plans; systems evaluations and reviews; user studies; conversion records; management studies; equipment description and specifications; standardization documentation and glossary of terminology and computer codes</p>	<p>6 years after equipment or system no longer in use</p>
<p>Electronic data processing system (or subsystem or program) data entry, manipulation, output and retrieval control records (often called "systems documentation records") necessary for retrieval of information retained in machine readable format, including user guide; internal memoranda; system or subsystem definition, flowchart or outline; list or index of programs and codes; detailed program description and documentation; job control or work flow records; system specifications; file specifications; input and output specifications and test data</p>	<p>1 year after system discontinued or information no longer stored in machine-readable form, whichever is longer</p>

LIBRARY	
Accession records	1 year after accessioning procedure becomes obsolete
Borrowing or loaning records, including interlibrary loan	0 after no longer needed
Catalog of holdings	
<ul style="list-style-type: none"> Manuscript or printed catalog 	PERMANENT
<ul style="list-style-type: none"> Continuously updated catalog 	0 after superseded or obsolete
Individual title purchase requisition which has been filled or found to be unfillable	1 year
Records documenting selection of books and other library materials	1 year

PRESIDENT	
President's office files including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts and other legal documents	
<ul style="list-style-type: none"> Where file documents a significant subject, or major policy-marking or program-development process 	PERMANENT
<ul style="list-style-type: none"> Where file documents routine activity 	6 years
Minutes and other materials pertaining to Administrative Council are maintained in the Office of the President.	PERMANENT

PROCUREMENT

Purchase order used to obtain materials, supplies, or services (electronic retention in Banner and Web PO)	3 years after audit
Purchasing file containing specifications for purchases of materials, supplies and services not connected with capital construction	3 years after audit
Vendor files, including but not limited to list of vendors doing business with the Institute, price lists or other information received from vendors	3 years after audit
Performance guarantee or written warranty for products or similar record	1 year after expiration
Invoice, statement or similar notification by vendor of supplies, materials, or equipment sent (retained by A/P)	3 years after audit
Invoice register, or similar record used to list invoices (retained by A/P)	3 years after audit
Packing slip, shipping ticket, copy of bill of lading or similar record used to verify receipt of materials or supplies	3 years after audit
List or abstract of purchase orders, claims or contracts	3 years after audit
Standing order file, used for purchase of materials and supplies which are received on a regular basis	3 years after audit

REGISTRAR	
Transcript	PERMANENT
Student folder, including but not limited to	
<ul style="list-style-type: none"> Change of grade documents, withdrawal authorizations, graduation certification, Social Security certification, student roster and attendance verification records such as class roster, or final grade listing and student schedule 	6 years
<ul style="list-style-type: none"> Academic action authorizations (dismissals and/or notification of problems) and employment placement records 	6 years after graduation or date of last attendance
<ul style="list-style-type: none"> Change in Social Security number record and enrollment certification and related records 	3 years
<ul style="list-style-type: none"> Application for graduation, change of course (drop/add) records, credit/no credit (audit) approval, name and/or sex change authorization, pass/fail request, registration form, and transcript request 	1 year

SPONSORED PROGRAMS	
Institute contracts with vendors or other entities	6 years after close
Grant management records which document grants received by the Institute, including, but not limited to, award documents, fiscal documents, copies of disbursement documents, copies of payroll documents, reconciliation reports, packing slips, and correspondence	6 years after submission and acceptance of final invoice
Grant proposal records consisting of documents sent to granting agencies, including, but not limited to, proposals, reports, final reports, and award documents	6 years after submission and acceptance of final invoice

STUDENT AFFAIRS

Student request for assistance relating to emotional psychological, personal, social, academic, or vocational concerns	6 years from completion of planned services or from date of last contact with Health Center
Academic termination record containing information about transfer to another Institute, reason for termination or future plans of student	0 after no longer needed
List of student appointments including slips, return cards or counseling schedules	0 after obsolete
Statistical compilation or reports of students served	0 after no longer needed
Student file including but not limited to information on disability, transcripts, correspondence with student's sponsoring agency, orders for special equipment, and notes of contacts with counselors	6 years after graduation or date of last attendance
Staff development materials relating to instructor orientation to disabled students and general disabilities	0 after obsolete
Health certification records covering review and approval by State or Federal agency or professional review organization, to operate facility or program, to conduct tests, or to perform specified work	7 years after superseded, revoked, or no longer valid
Survey, evaluation, and inspection records covering review of health center and programs by State agency or professional review organization, including but not limited to medical care evaluation and similar studies	PERMANENT
Master summary record, master index file, or principal register giving basic data on individual patients	PERMANENT
Appointment records, including slips, calendar, return cards, and clinic schedules kept by the health center	0 after obsolete
Screening and assessment records and referrals, for persons evaluated but not treated by facility or program	3 years

Insurance carrier claim records, including but not limited to schedule of payments, copy of claim, listing of invalid or rejected claims, vendor payment list, list of claims submitted for payment, and list of checks received	7 years
Insurance and reimbursement related reports, including cost report and certified uniform financial or statistical report, and all necessary supporting documentation	9 years
Standard procedures and medical protocols	PERMANENT
Census record of student patients	10 years
Proof of immunization records	10 years
Student health service case record	6 years after last entry
Student consent forms	6 years after last entry
Residency occupancy records including but not limited to room and board contracts and room assignation	6 years
Damage records pertaining to damage of dormitory equipment and furnishings to structure	6 years
Room change forms	1 full semester
Judicial records	
<ul style="list-style-type: none"> Student Conduct Code violating records including, but not limited to, grievance, investigative records, hearing proceedings, decision rendered, student appeal, final decision, and correspondence 	3 years after last quarter at the Institute
<ul style="list-style-type: none"> Records of suspension or expulsion 	PERMANENT
Minutes and other materials pertaining to Student Government Association are maintained in the Office of Student Affairs	PERMANENT