

Records Retention Schedule

October 18, 2018

**American University
Records Retention Schedule**

Table of Contents

<u>TYPE OF RECORD</u>	<u>PAGE</u>
Athletics.....	1
Budget.....	1-2
College & University – Academic.....	2-6
College & University – Student Life.....	6-7
Communications and Publications.....	7
Information Technology & Telecommunications.....	7-8
Institutional/Corporate.....	8
Development and Alumni Relations.....	8-9
Facilities.....	9
Finance – Accounting & Finance, Contracts & Procurement.....	9-11
Finance – Treasury Operations.....	11-12
Human Resources.....	12-13
Legal, Patent & Trademark, Inventions.....	13
Payroll.....	13-14
Risk Management, Safety Services, Insurance.....	14-15
Student Accounts.....	15
University Library.....	15-17
WAMU.....	17

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Athletics				
Athletic Eligibility	Athletics		Athletics	5 years
Athletic Injury (catastrophic)	Athletics		Athletics	Permanent
Athletic Scholarship Award	Athletics		Athletics	5 years
Claims Payment (secondary coverage)	Athletics		Athletics	5 years
Club Sports waivers	Athletics		Fitness Center	3 years after signing
Competitive Record	Athletics		Athletics	5 years
Fitness Center waivers	Athletics		Fitness Center	3 years after graduation
Game Arrangement Records	Athletics		Athletics	5 years
Game Officials' Evaluations	Athletics		Athletics	1 year
Game Statistics	Athletics		Athletics	Permanent
Grant-In-Aid Scholarships	Athletics		Athletics	5 years
Individual Athletic Record	Athletics		Athletics	1 year after separation
Insurance Records	Athletics		Athletics	10 years
Intramural waivers	Athletics		Fitness Center	3 years after session
Playbooks	Athletics		Athletics	5 years
Player Records	Athletics		Athletics	5 years or end of eligibility
Positive Drug Test	Athletics		Athletics	3 years or end of eligibility
Practice Schedule	Athletics		Athletics	5 years
Recruiting	Athletics		Athletics	5 years or end of eligibility
Scheduling	Athletics		Athletics	6 years after expiration of contract
Student Athlete Medical	Athletics		Athletics	10 years after student is last enrolled
Student Athletic Academic Advising Records	Athletics		Athletics	5 years after degree completed or last enrollment
Tickets	Athletics		Athletics	5 years
Budget				
Approved AU Budget	Budget Office		Budget Office	Permanent
Budget Changes and Reports to Units	Budget Office		Budget Office	4 years
Budget Formulation Documents	Budget Office		Budget Office	10 years
Budget Submissions	Budget Office		Budget Office/Individual Schools	4 years
Budget Submissions	Originating Units		Originating Units	6 years
Funding Allocation Memos	Budget Office		Budget Office/Individual Schools	4 years
May 1 Line-Item Budget	Budget Office		Budget Office	10 years
Position Inventory Control/People Sheets	Budget Office		Budget Office	4 years

**American University
Records Retention Schedule**

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Quarterly Budget Performance Review	Budget Office		Budget Office	4 years
Tuition and Fee Schedule	Budget Office		Budget Office	10 years
Unit Budget Preparation Instructions	Budget Office		Budget Office	4 years
Year-End Budget Performance Review	Budget Office		Budget Office	10 years
COLLEGE & UNIVERSITY				
Academic				
Academic Actions (dismissal, etc.)	Originating Units		Originating Units	5 years from graduation or date of last attendance
Academic Deficiency Reports: Probations, Dismissals and Early Warning Notices	University Registrar		University Registrar	5 years from Graduation or date of last attendance
Academic Agreements, Affiliation Agreements, MOAs	Originating Units		Office of the Provost	6 years after expiration date
Academic Integrity Code Violations	Originating Units		Originating Units	5 years after last registration
Academic Integrity Code Violations resulting in sanctions	Originating Units		Dean's Office & Registrar	Permanent
Academic Program Administration	Originating Units		Originating Units	1 year
Academic Records (including narrative evaluations, competency assessments)	Originating Units		Originating Units	2 years after graduation or date of last attendance
Academic Search Plans & Statements	Originating Units		Originating Units	3 years
Academic Search Records	Originating Units		Originating Units	Permanent for successful candidate, 3 years after search completed for others
Academic Search Waivers	Dean of Academic Affairs		Dean of Academic Affairs	For Permanent waivers, 3 years from date of appointment & for limited term waivers, 3 years from satisfaction of subsequent search requirements or termination
Accreditation	Originating Units		Office of the Provost	Permanent
Adjunct Instruction	Originating Units		Originating Units	Permanent for successful candidate, 3 years for inquiries
Admissions for Applicants who do not enroll, whether accepted or rejected (advanced placement records, applications for admission or readmission, relevant correspondence, entrance exam reports (ACT, CEEB), residency classification forms, letters of recommendation, transcripts)	Enrollment Services		Admissions Office	5 years from date of start of application term

**American University
Records Retention Schedule**

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Admissions for Applicants who enroll (advanced placement records, applications for admission or readmission, correspondence that is relevant, entrance exam reports (ACT, CEEB))	Enrollment Services		Admissions Office	5 years from Graduation or date of last attendance
Advising records	Originating Units		Originating Units	2 years after graduation or date of last attendance
Animal Welfare Records	Sponsored Programs		Sponsored Programs	3 years after Completion of Project
Borrower's Loan Records	Student Accounts		Student Accounts	5 years after loan repayment
Borrower's Loan Records (cancelled)	Student Accounts		Student Accounts	Permanent for assignment files, 5 years after cancellation for others
Catalogs	University Registrar		University Registrar	Permanent
Change Grade Forms	University Registrar		University Registrar	Permanent
Change Student ID Number	University Registrar		University Registrar	Permanent
Commencement Attendance	University Registrar		University Registrar	1 year
Commencement Programs	University Registrar		University Registrar	Permanent
Consent to Release Personally Identifiable Information	University Registrar		University Registrar	3 years from Graduation or date of last attendance
Correspondence and Subject Files	Directors of Campus-wide Centers and Institutes		Originating Units	Permanent
Correspondence and Subject Files	Office of the Provost		Office of the Provost	Permanent
Course Offerings/Class Schedules	University Registrar		University Registrar	Permanent
Course Rosters	University Registrar		University Registrar	Permanent
Course/Teaching Evaluations	Originating Units		Originating Units	3 years after employee separation
Credit Bureau Reports	Enrollment Services		Financial Aid	4 years
Curriculum Change Authorizations	Originating Units		Originating Units	5 years from graduation or date of last attendance
Degree, Graduation, Enrollment and Racial/Ethnic Statistics	University Registrar		University Registrar	Permanent
Diploma Mailing Certification	University Registrar		University Registrar	1 year
Enrollment Verification	University Registrar		University Registrar	2 years from Enrollment date
Exceptions to Academic Regulations	Vice Provost Undergraduate Studies/ Graduate Studies		University Registrar	Permanent
FERPA Documents	University Registrar		University Registrar	Life of affected document or until student terminates waiver for written consent; 3 years from Graduation or date of last attendance

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Final Grade Rosters	University Registrar		University Registrar	Permanent
Financial Aid Records (applicants who do not enroll)	Enrollment Services		Financial Aid	3 years from date of graduation
Financial Aid Records (applicants who enroll)	Enrollment Services		Financial Aid	5 years from date of graduation
Financial Dismissals	University Registrar/ Office of Student Accounts		University Registrar/ Office of Student Accounts	1 year after release; OSA records permanent
FOPIA Requests	University Registrar		University Registrar	Life of affected document
Graduate Award Records (scholarships, fellowships)	Originating Units		Originating Units	Permanent
Graduate Comprehensive Examination Results	Academic Units		University Registrar	Permanent
Graduate Student Tuition Remission	Enrollment Services		Financial Aid	8 years
Graduate Tool of Research Results	Academic Units		University Registrar	Permanent
Graduation Lists	University Registrar		University Registrar	Permanent
Grant and Contract Applications & Proposals (unfunded)	Sponsored Programs		Sponsored Programs	3 years
Grant Project Contracts	Sponsored Programs		Sponsored Programs	3 years after completion of project and receipt of final payment from sponsor, unless sponsor retention is longer
Grant Projects Research	Sponsored Programs		Sponsored Programs	3 years upon completion of research project/program
Human Subject Records	Sponsored Programs		Research Compliance	3 years after completion of project
Independent Study Records	Originating Units		Originating Units	1 year from graduation or date of last attendance
Institutional Accreditation	Institutional Research		Office of the Provost	Permanent
Institutional Planning	Institutional Research		Institutional Research	Permanent for Final reports 10 years for internal planning material
Intent to Attend	Enrollment Services		Financial Aid	3 years after enrollment
Letters of Recommendation	Originating Units		Originating Units	Until date of enrollment
Loan Activity	Enrollment Services		Financial Aid	Permanent
Mathematics Placement Examination Results	Mathematics Department		University Registrar	Permanent
Meeting agendas, minutes and reports	College, School and University-wide Committees		Office of the Provost	Permanent
Meeting agendas, minutes and reports	Faculty Senate		Office of the Provost	Permanent
Meeting agendas, minutes and reports	Faculty Senate Committees		Office of the Provost	Permanent

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Merit Award applications, essays and supporting materials	Career Center		Career Center	1 year after competition closes
Merit Award winning applications and supporting materials	Career Center		Career Center	Permanent
Name Change/Authorization/Personal Information Changes	University Registrar		University Registrar	Permanent
Pell Grant	Enrollment Services		Financial Aid	5 years after audit
Prevent Disclosure Requests	University Registrar		University Registrar	5 years from graduation or date of last attendance
Recombinant DNA Research Records	Sponsored Programs		Sponsored Programs	Permanent
Recruitment Materials	Enrollment Services		Admissions Office	Until Date of Enrollment
Reinstatement	University Registrar/ Office of Student Accounts		University Registrar/ Office of Student Accounts	1 year after release; OSA records permanent
Room Scheduling (academic)	University Registrar		University Registrar	1 year
Schedule of Classes (institutional)	University Registrar		University Registrar	Permanent
Sexual Harassment Complaints (investigations and findings)	Dean of Academic Affairs		Dean of Academic Affairs	3 years from determination for no cause findings and permanent for cause findings
Special Academic Programs	Originating Units		Originating Units	Permanent for policy/ development documents
Stafford Loan Signature Cards	Enrollment Services		Financial Aid	5 years after last application
Student Academic Grievances	Originating Units		Originating Units	5 years after last matriculation
Student Class Schedules	University Registrar		University Registrar	1 year from Graduation date or date of last attendance
Student Cumulative Financial Aid Records	Enrollment Services		Financial Aid	5 years after last application
Student Promissory Notes	Enrollment Services		Financial Aid	5 years after repayment
Tenure/Promotion Reviews	Originating Units		Originating Units	If Action approved, 3 years w/ tenure denied, 3 years from end of appointment term
Term Reports	Originating Units		Originating Units	5 - 7 years
Transcript Requests	University Registrar		University Registrar	1 year from Submission date
Transcripts	University Registrar		University Registrar	Permanent
Transcripts (high school and other colleges)	Enrollment Services		Admissions Office	5 years from graduation or date of last attendance
Transfer Credit Evaluations	Enrollment Services		Admissions Office	5 years from Graduation or date of last attendance
Various Scholarships	Enrollment Services		Financial Aid	5 years after award notification for acceptance, 1 year for denials

**American University
Records Retention Schedule**

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Veteran Administration Certifications	AU Central		AU Central	5 years from Graduation or date of last attendance
Withdrawal Authorizations/Leaves of Absence	University Registrar		University Registrar	2 years
Writing Proficiency Examination Results	English Department		University Registrar	Permanent
COLLEGE & UNIVERSITY				
Student Life				
Appointment Database	Student Health Center		Student Health Center	7 years after graduation
AUTO Records	Student Activities		UG Student Government	5 years
Award Recipients	GLBTA Resource Center		GLBTA Resource Center	Permanent
Award Recipients	Multicultural Affairs		Multicultural Affairs	Permanent
Contributing Faith Chaplains	Kay Spiritual Life Center		Kay Spiritual Life Center	Permanent
Counseling Records and database	Counseling Center		Counseling Center	7 years after last contact
Daily Transaction Records	Student Health Center		Student Health Center	5 years
Disability Records (paper)	Academic Support Center		Academic Support Center	7 years after last contact
Disciplinary Records (paper & electronic)	Judicial Affairs & Mediation Svcs.		Judicial Affairs & Mediation Svcs.	7 years after last contact; suspensions and dismissals: permanent
Educational Counseling Records (paper)	Academic Support Center		Academic Support Center	7 years after last contact
Facility Use Records	Kay Spiritual Life Center		Kay Spiritual Life Center	3 years
Fraternity and Sorority Awards	Fraternity and Sorority Life		Fraternity and Sorority Life	Permanent
Frederick Douglas Scholar Rosters	Multicultural Affairs		Multicultural Affairs	Permanent
Health & Safety Inspection Forms	Housing & Dining Programs		Housing & Dining Programs	1 year
HI-SCIP Rosters	Multicultural Affairs		Multicultural Affairs	Permanent
Housing & Meal Plan Termination Form	Housing & Dining Programs		Housing & Dining Programs	1 year
Housing Applications	Housing & Dining Programs		Housing & Dining Programs	1 year
ID Card Replacement Form/Billing	Housing & Dining Programs		Housing & Dining Programs	1 year
Incident Forms/Judicial Action Taken	Housing & Dining Programs		Housing & Dining Programs	1 year after sanction complete
Incident Forms/No Judicial Action Taken	Housing & Dining Programs		Housing & Dining Programs	End of academic year
International Student Immigration Records for students who matriculate	Inter. Student & Scholar Svcs.		Inter. Student & Scholar Svcs.	7 years after last enrollment; 1 year for students who are issued documents but do not enroll
LIFT Rosters	Multicultural Affairs		Multicultural Affairs	Permanent
Meal Plan Enrollments and/or Change Forms	Housing & Dining Programs		Housing & Dining Programs	1 year
Medical Records	Student Health Center		Student Health Center	7 years after graduation
Non-instructional Room Scheduling	University Center		University Center	1 year

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Park Bethesda Leases	Housing & Dining Programs		Housing & Dining Programs	1 year
Registered Student Organizations	Student Activities		Student Activities	Permanent
Room Inventory Forms and/or Damage Billing	Housing & Dining Programs		Housing & Dining Programs	1 year
Room Inventory Forms/No Billing	Housing & Dining Programs		Housing & Dining Programs	End of academic year
Significant Student Issue Forms	Dean of Students		Dean of Students	5 years after last contact
Staff Licensure	Student Health Center		Student Health Center	Duration of employment
STEP Rosters	Multicultural Affairs		Multicultural Affairs	Permanent
Student Contact Information database	Academic Support Center		Academic Support Center	7 years after last contact
Student Handbook Text	Dean of Students		Dean of Students	Permanent
Student Housing Agreements	Housing & Dining Programs		Housing & Dining Programs	3 years after expiration of agreement
Student Housing Registration Cards/Billing	Housing & Dining Programs		Housing & Dining Programs	1 year
Student Housing Registration Cards/No Billing	Housing & Dining Programs		Housing & Dining Programs	End of academic year
Student Recommendations	VP of Campus Life		VP of Campus Life	10 years after graduation
Student Recommendations	Dean of Students		Dean of Students	10 years after graduation
Student Records	Disability Support Services		Disability Support Services	7 years after last contact
Student staff personnel records	Housing & Dining Programs		Human Resources	6 years after termination
Communications and Publications				
Photography	University Publications Office	Staff Photographer	University Publications Office	Permanent
Publications	University Publications Office	Admin Coordinator University Publications	University Publications Office	Transfer two copies to Archives
Publications and Press Releases	University Communications Office	Media Relations / University Communications	University Communications Office	Transfer two copies of publications to Archives; Transfer one copy of press releases to Archives
Publications not processed through University Publications	All units		Originating Units	Permanent
Student Publications	Student Media		Student Media	Transfer two copies to Archives
Information Technology & Telecommunications				
ADC Vector	Telecommunications		Telecommunications	2 years

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Long Distance Code Authorizations	Telecommunications		Telecommunications	2 years or until superseded
Telephone Complaints & Fraud	Telecommunications		Telecommunications	5 years after resolution
Institutional/Corporate				
Administrative Correspondence	Executive Level Positions, Deans, Department Heads		Originating Units	Permanent
Administrative Reports, Activity, Annual & Periodic Status	Originating Units		President's Office	Permanent for record copy of final annual report
Board of Trustees Records/Minutes	President's Office		President's Office	Permanent
By-Laws	Secretary of the Corporation		President's Office	Permanent
Charter	Secretary of the Corporation		President's Office	Permanent
Correspondence and Subject Files	President's Office		President's Office	Permanent
Institutional Addresses & Statements	President's Office		President's Office	Permanent for final copy and audio/video recordings
International MOAs	President's Office		President's Office	Permanent
Legislative Relations	President's Office		President's Office	4 years
List of Contributing Faith Chaplains	Kay Spiritual Life Center		Kay Spiritual Life Center	Permanent
Policies	All units		Originating Units	Permanent
President's Council Minutes	President's Office		President's Office	Permanent
Publications with American University imprint	President's office		President's Office	
Special Event Documents	Special Event Office		Special Event Office	Permanent
Trustee Decisions Regarding Academic Personnel and Designated Executives	President's Office		President's Office	Permanent
University Council Minutes	President's Office		President's Office	Permanent
Development and Alumni Relations				
Alumni Association Board	Alumni Relations		Alumni Relations	Permanent for agenda, minutes and reports
Alumni Association Services	Alumni Relations		Alumni Relations	5 years
Alumni Information Records	Alumni Relations		Alumni Relations	Permanent
Alumni Mailing Lists	Alumni Relations		Alumni Relations	Until superseded
Class Gift	Gifts		Development	Permanent
Development & Endowment Fees	Gifts		Development	4 years
Gift Records	Gifts		Development	6 years for hard copy, permanent for electronic records

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Gifts of Art	Gifts		Development	Permanent
Original Gift Letter Agreements (signed by President and donor)	Gifts		Development	Permanent
Planned Gifts (trusts, life income, agreements, annuities) & Real Estate Gifts	Gifts		Development	Permanent
Facilities				
Bid Records	University Architects		Controller	6 years for accepted bids, 2 years for rejected bids
Building /Land Inventory	University Architects		Finance Office	Permanent
Building Permits	University Architects		Facilities Resource Center	Permanent/Life of facility
Certificates of Occupancy	University Architects		Finance Office	Permanent/Life of facility
Permit drawings, record drawings	University Architects		Facilities Resource Center	Permanent/Life of facility
Plats, surveys, utility location maps	University Architects		Facilities Resource Center	Permanent/Life of facility
Space/Facilities Use	University Architects		Facilities Resource Center	5 years for summary reports/Permanent for overall historical information
Utilities System Operating & Maintenance	Facilities Management		Facilities Resource Center	Until equipment is no longer in service
Vehicle Inspection	Facilities Management		Facilities Resource Center	4 years
Vehicle Records	Facilities Management		Finance Office	4 years after disposal of vehicle
Work Order Requests	Facilities Management		Facilities Resource Center	4 years
FINANCE				
Accounting & Finance Contracts & Procurement				
Account Reconciliation (balance sheet)	Controller		Controller	6 years
Account Request Documentation (new accounts)	Controller		Controller	3 years after account becomes inactive
Accounting Reports (monthly reports, schedule department balances, transaction statements, account analysis, monthly and year-to-date salary and wage statements)	Controller		Controller	20 years
Accounts Aging	Controller		Controller	20 years for year-ending listing
Accounts Payable Vouchers (attachments, claims, disbursements, expenses)	Controller		Controller	6 years
Accounts Receivable Statements (centrally generated)	Controller		Controller	6 years
Accounts Receivable Statements (originating units)	Originating Units		Originating Units	6 years
Accounts Receivable Write-offs	Controller		Controller	Permanent

**American University
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TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Agreements - Professional Service Agreements	Originating Units		Originating Units	2 years
Agreements and Contracts	Controller/Originating Units		Controller	6 years after expiration date
Annual Financial Reports and Work Papers	Controller		Controller	Permanent
Athletic Event Cash Reconciliation	Controller		Controller	4 years
Audit Reports	Internal and External Auditors		Finance Office	Permanent
AU's insurance policies	Finance Office		Finance Office	Permanent
Banking Records (deposit and withdrawal records, bank statements & reconciliation, voided & cancelled checks)	Controller		Controller	6 years
Billing Records (originating units)	Originating Units		Originating Units	6 years
Capital Equipment Records	Controller		Controller	Life of asset - records of equipment purchased by federal funds must be retained for 3 years after final disposition
Cash Receipts	Controller		Controller	6 years
Chart of Accounts	Controller		Controller	Permanent
Chron Files	Finance Office		Finance Office	3 years
Collection Records (originating units)	Originating Units		Originating Units	3 years after account is paid in full
Commercial Insurance Policies	Finance Office		Finance Office	Permanent
Contracts, Leases and Agreements	Originating Units		Controller	6 years after expiration
Credit Card Receipts	Originating Units		Originating Units	2 years
Depreciation Records	Controller		Controller	Life of asset
Documents for Licenses, Leases, Construction Contracts, and other Contracts	Finance Office		Finance Office	6 years after expiration
Effort Certifications	Controller		Controller	6 years
Equipment Inventory Transfer	Controller		Finance Office	7 years
Excise Tax Returns	Controller		Controller	6 years
Fee Receipts (originating units)	Originating Units		Originating Units	5 years
Fringe Benefit Tax Returns	Controller		Controller	6 years
General Ledger Statements	Controller		Controller	5 years
Gift and Estate Agreements	Finance Office		Finance Office	Permanent
Grant and Contract Accounting Records	Controller		Controller	7 years after final financial form submitted
Income Tax Returns	Controller		Controller	Permanent
Indirect Cost Rate Calculations	Controller		Controller	6 years
Inventories	Originating Units		Originating Units	Life of asset

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Journal Entries and Back-Up	Controller		Controller	6 years
Monthly Reconciliation of General Ledger	Controller		Controller	4 years
New Account Records and Back-Up	Controller		Controller	6 years after account closing
Paid Invoices	Controller		Controller	6 years
Pension Tax Returns	Controller		Controller	6 years
Procurement Card Charge Documentation	Controller		Controller	6 years
Property Deeds, Easements, Rights of Way, Rights of First Refusal, Remainder Interests, Mortgages, all for current and former property	Finance Office		Archives	Permanent
Property Disposition	Originating Units		Originating Units	4 Years
Property Tax Returns Filed with Taxing Jurisdiction	Controller		Finance Office	6 years
Purchase Orders	Controller		Controller	6 years
Returned Checks	Controller		Controller	4 years
Safe Keeping In Trust Accounts	Controller		Controller	4 years
Sales Tax Returns	Controller		Controller	6 years
Subsidiary Ledger	Controller		Controller	6 years
Summary Analysis Reports (end of year fund, source, function)	Controller		Controller	6 years
Title Insurance Policies	Finance Office		Finance Office	10 years after disposal of property
Transaction Authority/Signature Cards	Controller		Controller	6 years after authority expires
Travel Reimbursements and Attachments	Controller		Controller	6 years
Trial Balances	Controller		Controller	6 years
Vendor History Reports	Controller		Controller	2 years after superseded
Zoning orders and supporting documents	Finance Office		Archives	Permanent
FINANCE				
Treasury Operations				
Account Documentation (signature cards, forms, etc.)	Treasury Operations		Treasury Operations	Permanent
Daily Cash Book detail (account balances, account activity, ACH, repetitive and non-repetitive wire request forms with approvals)	Treasury Operations		Treasury Operations	2 years
Bank and Working Capital Investment Statements	Treasury Operations		Treasury Operations	2 years

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Signatory Policy Reports	Treasury Operations		Treasury Operations	7 years
Endowment Custodial Bank Statements	Treasury Operations		Treasury Operations	2 years
Rating Agency Liquidity Schedules	Treasury Operations		Treasury Operations	2 years
Endowment Manager Statements	Treasury Operations		Treasury Operations	2 years
Commercial Paper note orders	Treasury Operations		Treasury Operations	2 years
Interest rate swap statements (value and collateral)	Treasury Operations		Treasury Operations	2 years
Debt Custodial Bank Statements	Treasury Operations		Treasury Operations	Life of bonds +3 years
Tax-Exempt Bond Documents	Treasury Operations		Treasury Operations	Life of bonds +3 years
Human Resources				
Affirmative Action Programs and compliance records	Human Resources		Human Resources	2 years
Benefit plan termination	Human Resources		Human Resources	6 years
Benefit plans and all amendments	Human Resources		Human Resources	Permanent
Benefit Summary Plan Descriptions	Human Resources		Human Resources	6 years
Benefits Policies & Procedures	Human Resources		Human Resources	Life of the program or contract plus 2 years
Changes to benefit plans--notice or reportable events	Human Resources		Human Resources	6 years
Conciliation Agreements/Consent Orders	Human Resources		Human Resources	Permanent
Employee Personnel Files (including, application, resume, payroll/salary, appointment forms, position description, performance evaluations) Involuntary termination	Human Resources		Human Resources	Permanent
Employee Personnel Files (including, application, resume, payroll/salary, appointment forms, position description, performance evaluations) Voluntary termination	Human Resources		Human Resources	6 years after voluntary termination
Employee Policies & Procedures	Human Resources		Human Resources	Permanent
Employment Verification Requests	Human Resources		Human Resources	3 years
Federal reporting requirement--welfare benefits and other fringe benefit plans	Human Resources		Human Resources	Permanent
FMLA Records	Human Resources		Human Resources	6 years from date of employment termination

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
HIPAA Documents	Human Resources		Human Resources	6 years from date of creation or date on which document was last effective (whichever is later)
I-9 Forms	Originating Units		Human Resources	3 years or 1 year after termination
Individual Employment Letters	Human Resources		Human Resources	6 years after termination
Non-academic Search & Hiring Forms	Human Resources		Human Resources	3 years from date of hire
Performance Appraisals	Originating Units		Human Resources	3 years after separation
Record of benefit premium payments	Human Resources		Human Resources	3 years
Requests for disability accommodation	Human Resources		Human Resources	7 years after voluntary/involuntary employment termination
Sexual Harassment Complaints (investigations and findings)	Human Resources		Human Resources	3 years from determination for no cause findings, permanent for cause findings
Staff Complaints (Formal)	Human Resources		Human Resources	3 years after settled
Visas - H-1 & J-1 Visa Records	Originating Units		Originating Units	6 years after expiration of visa
Legal, Patent & Trademark, Inventions				
Invention Assignment Forms	Originating Units		Archives	Permanent
Lawsuits	General Counsel		General Counsel	Permanent
Original Patents, Trademarks, and Related Work Papers	General Counsel		Finance Office	Permanent
Releases	General Counsel		General Counsel	Permanent
Royalty Records	General Counsel		Finance Office	Life of patent plus 6 years
Settlements	General Counsel		Finance Office	Permanent
Payroll				
Annual Payment Records (W2, alpha lists, employee transaction lists)	Payroll Office		Payroll Office	15 years
Deduction Authorization	Payroll Office		Payroll Office	4 years after authorization expires or is superseded
Imputed Income Records (auto usage)	Payroll Office		Payroll Office	6 years
Information Returns Filed with Federal & State Authorities	Payroll Office		Payroll Office	6 years
Leave Reporting Documents	Payroll Office		Payroll Office	4 years
Paycheck Register	Payroll Office		Payroll Office	6 years
Payroll Adjustments	Payroll Office		Payroll Office	5 years
Payroll Advices (pay stubs)	Payroll Office		Payroll Office	3 years
Payroll Check Delivery	Payroll Office		Payroll Office	3 years

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Payroll Register	Payroll Office		Payroll Office	6 years
Payroll Tax Returns (W-2, social security)	Payroll Office		Payroll Office	15 years after the actual due date of the returns
Payroll unemployment tax (DC)	Payroll Office		Payroll Office	7 years
Record of Payments & Deductions (deduction & adjustment lists)	Payroll Office		Payroll Office	5 years
Tax Withholding Authorization	Payroll Office		Payroll Office	5 years after authorization expires or is superseded
Timesheets	Originating Units		Payroll Office	3 years
Unclaimed Property Records (Name and Address Data)	Payroll Office		Payroll Office	10 years
Risk Management, Safety Services, Insurance				
Asbestos	Risk Management		Finance Office	30 years after termination
Bicycle License/Registration	Public Safety		Public Safety	2 years
Certificates of Insurance & Hold Harmless/Indemnification Agreements	Risk Management		Finance Office	6 years after expiration
Chemical Incidents	Risk Management		Finance Office	40 years after incident
Crime Reports	Public Safety		Public Safety	7 years after report date
DMV Lists	Public Safety		Public Safety	Until Superseded
Driver Certification	Risk Management		Finance Office	3 years
Emergency Management and Business Continuity Plans	Risk Management		Finance Office	Retain in office 10 years then transfer to Archives
Employee Acknowledgement of Safety Rules	Public Safety		Public Safety	4 years after employee separation
Environmental Regulation Violations	Risk Management		Finance Office	10 years
Evacuation Drill Records	Risk Management		Finance Office	5 years
Fire Alarm & Drill	Public Safety		Public Safety	7 years
Fire Protection Systems Records	Risk Management		Finance Office	5 years
Fume Hood Testing Records	Risk Management		Finance Office	3 years
Hazardous Waste Disposal Manifests and Reports	Risk Management		Finance Office	3 years
Historical Policies (executive correspondence, policy statements, directives)	Risk Management		Finance Office	Permanent
Identification Cards	Public Safety		Public Safety	2 years after last contract
Incident & Accident Reports	Public Safety		Public Safety	7 years after report date

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Incident Records	Risk Management		Finance Office	5 years
Inspection Cards	Public Safety		Public Safety	5 years
Insurance Policies	Risk Management		Finance Office	Permanent
Key Issuance	Public Safety		Public Safety	2 years after key is returned
Legal action insurance records	Risk Management		Finance Office	10 years after resolution
Occupational Injury or Illness	Risk Management		Finance Office	5 years
Parking Citations	Public Safety		Public Safety	2 years after resolution
Parking Permits	Public Safety		Public Safety	2 years
Portable Extinguisher Training Records	Risk Management		Finance Office	3 years
Property Damage Reports	Public Safety		Finance Office	4 years after report date
RAD - Exposure Assessments: Landauer: 1991-1993 Proxtrionics: Aug.-Sept 1989	Risk Management		Finance Office	30 years
RAD - Final status report: 2010	Risk Management		Finance Office	After request made to USNRC
RAD - NRC License	Risk Management		Finance Office	After request made to USNRC
RAD - Termination & amendment requests for licenses	Risk Management		Finance Office	After request made to USNRC
RAD - Termination paperwork for license 08- 08371-05	Risk Management		Finance Office	After request made to USNRC
Settled claims	Risk Management		Finance Office	7 years after settled
Vehicle Accident	Public Safety		Finance Office	4 years after report date
Worker's Compensation Claims	Risk Management		Finance Office	10 years
Student Accounts				
Student Loan Records	Student Accounts		Student Accounts	3 years after loan is paid in full
Tuition & Fee Charges	Student Accounts		Student Accounts	6 years
University Library				
Academic search plans and statements	University Library		University Library	Permanent for successful candidates; 3 years for others
Accounting reports/deposit receipts from service desks	University Library		University Library	5 years
ACT Donor Database	University Library		University Library	Permanent
Affirmative Action Search Faculty files	University Library		University Library	7 years from search date
American University Press	University Library		University Library	Permanent
Anonymous or aggregate assessment data	University Library		University Library	Permanent
Appraisal of Library Materials	University Library		University Library	Permanent
Artifact Acquisition	University Library		University Library	Permanent

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Assessment data-personally identifying information	University Library		University Library	Length of Project
Associate borrowers forms	University Library		University Library	1 year
Building renovation files	University Library		University Library	Permanent
Circulation for books	University Library		University Library	Until withdrawn
Circulation Records	University Library		University Library	90 days after Return of materials
Circulation system user notes	University Library		University Library	Permanent
Circulation system user records	University Library		University Library	3 years with no active fines
CLS records for articles	University Library		University Library	6 months
Collection & Acquisition Exchange	University Library		University Library	Permanent
Collection Control	University Library		University Library	Permanent
Collection or Artifact Loan	University Library		University Library	20 years after Termination of loan
Deaccession	University Library		University Library	Permanent
Donor files	University Library		University Library	Permanent
Exhibit	University Library		University Library	Permanent
Fine records	University Library		University Library	Permanent
University Library Council (agendas, correspondence, minutes, reports)	University Library		University Library	Permanent
ILL records for CONTU	University Library		University Library	5 years
ILL records of request	University Library		University Library	3 years
Initial order records for books, serials, and e-resources	University Library		University Library	6 years
Laptop borrowers agreements	University Library		University Library	1 semester
Library policies	University Library		University Library	Permanent
Library publications (e.g., manuals, handbooks, etc.)	University Library		University Library	Permanent
Library statistics	University Library		University Library	Permanent
Library websites and individual pages	University Library		University Library	Permanent
Locker agreements	University Library		University Library	1 year
Materials checked out	University Library		University Library	Not retained
Meeting agendas, minutes, reports for teams and library-wide committees	University Library		University Library	Permanent
One Card-all receipts retained by department	University Library		University Library	5 fiscal years
Personal faculty annual reports	University Library		University Library	Permanent
Proxy forms	University Library		University Library	1 year

**American University
Records Retention Schedule**

TYPE OF RECORD	ORIGINATING DEPT / OFFICE	RESPONSIBLE POSITION	OFFICIAL REPOSITORY	DURATION
Reference Request Records	University Library		University Library	5 years
Requests for items to be put on reserves	University Library		University Library	2 years
Security incident reports	University Library		University Library	3 years
Serial Records	University Library		University Library	Permanent
Signed part-time payroll cards	University Library		University Library	7 years from date of pay period
Student employment records	University Library		Human Resources	6 years after termination
Surveys	University Library		University Library	Permanent
Team agendas, minutes, reports	University Library		University Library	Permanent
Tenure and Promotion Reviews	University Library		University Library	3 years
Theses and Dissertations	University Library		University Library	Permanent
ULFC agendas, minutes, policies	University Library		University Library	Permanent
University Archives Researcher Forms	University Library		University Library	Permanent
University Librarian and Assistant/Associate University Librarians (UL chron file)	University Library		University Library	Permanent
University Library budget	University Library		University Library	Permanent
WAMU				