

LONG ISLAND UNIVERSITY

Records Retention Policy

Statement of Policy

Long Island University requires that University records, regardless of format, be retained for specific periods of time, taking into account legal or other institutional requirements. The University has created procedures to manage the retention and disposal of these records as outlined in this policy.

Responsibilities for Managing University Records

Each University Officer or a designee must do the following:

- Implement records management practices consistent with this policy.
- Educate staff in understanding the records management practices.
- Preserve records of legal, fiscal or administrative value as required under this policy.
- Destroy inactive records upon expiration of the applicable retention period in accordance with this policy.

University Officers or their designees should direct their questions about these responsibilities to the Office of the University Counsel (at 516-299-3665 or legaldept@liu.edu) which will work closely with them to ensure proper understanding and implementation of this policy.

Retention of Records

The tables in Appendix A list different types of records and the length of time those records must be retained. Where a record may fall into more than one category, the longer retention period should govern. We recognize that no document list can be exhaustive. Therefore, any questions regarding the retention period for a specific document or class of documents not included in the appendix should be addressed to the Office of the University Counsel. In addition, **all records pertaining to ongoing or pending audits or lawsuits (including reasonably anticipated lawsuits) should not be destroyed, damaged, or altered until the matter is resolved and you are specifically advised that such records may be destroyed, even if the records retention date has expired.** If you have reason to believe that a record scheduled for destruction may pertain to any of these matters, do not destroy the record and bring the record to the attention of the Office of the University Counsel.

The record retention periods in Appendix A may be increased by government regulation, judicial or administrative consent order, private or governmental contract, pending litigation, or audit

requirements. Such modifications would supersede the requirements listed in this policy. If such a change is made, it will only be done in writing by the Office of the University Counsel.

Disposal of Records

If the record retention period has expired and the record is not appropriate for the University Archives, the record should be destroyed.

Most of the records that the University maintains are administrative or financial in nature and do not contain private or sensitive information pertaining to individuals. Disposal of these records may be made by any appropriate means, including recycling of paper records. Disposal of electronic records, including email, should be made in conjunction with the IT department and the University's email policies. Discs, tapes, film or other formats that hold electronic media may be overwritten or physically destroyed, but not simply thrown in the trash.

Records that contain personal identifying information (such as a name, number or personal mark) that can be used to identify a person when coupled with one or more pieces of data (including social security number, driver's license number, mother's maiden name, financial services or bank account number) must be disposed of in a particular manner under New York State's Disposal of Personal Records Law. Such records may be disposed of by: (1) shredding the record, (2) destroying the personal identifying information contained in the record before disposing of the record, (3) modifying the record to make the personal identifying information unreadable before disposing of the record or (4) taking other actions consistent with commonly accepted industry practices to ensure that no unauthorized person will have access to the personal identifying information contained in the record. If such record is to be destroyed by means other than those identified in (1) through (3), there must be prior approval from the Office of the University Counsel to confirm that the record is disposed of in accordance with the law.

APPENDIX A

Student Records

TYPE OF RECORD	DURATION
Application packet of students who did not enroll (including high school or other college transcripts and standardized test scores)	2 years from date of start of application term
Application packet of students who enrolled (including high school or other college transcripts and standardized test scores)	5 years from graduation or date of last attendance
Academic records (including academic actions: dismissal, code violations, etc.)	Permanent
Change of course forms	5 years from date of enrollment
Class lists (original)	Permanent
Course offerings	Permanent
Curriculum change authorizations	5 years from graduation or date of last attendance
Enrollment verifications	1 year from enrollment date
Financial aid records (applicants who enroll)	5 years from graduation date
Grade sheets	Permanent
Graduation lists	Permanent
Hold or encumbrance authorizations	Until released
Manual grade change forms	Permanent
Name changes	Permanent
Student registration forms	1 year from registration
Term reports	7 years
Transcripts	Permanent
Transcript requests	1 year from submission date

Accounting and Finance

TYPE OF RECORD	DURATION
Annual financial reports and work papers	Permanent
Audits	7 full fiscal years
Balance sheets, accounts payable and receivable statements or vouchers; journal entries and supporting documentation	6 full fiscal years
Banking records, including deposit and withdrawal records, bank statements and reconciliation, voided and canceled checks	6 full fiscal years
Billing records	6 full fiscal years

Capital equipment records, including records documenting the purchase, sale or improvement of property; depreciation or amortization records	6 years after disposal of asset
Cash receipts	6 full fiscal years
Gift records	7 years
Planned gifts (trusts, life income, agreements, annuities), real estate gifts	Permanent
Federal tax returns (990-T, CT-13, excise tax returns, etc.)	Permanent
Information return 990	Permanent
Information returns (1099, 8282, 90.22)	7 years
Sales tax returns	6 full fiscal years
Unclaimed Property Reports and supporting documents	7 years after report is filed

Bursar

TYPE OF RECORD	DURATION
Student loan records	3 years after paid in full
Disclosure statements	3 years after paid in full
Cashier reports	6 years
Tuition and fee charges	6 years

Corporate Records

TYPE OF RECORD	DURATION
Accreditation records	Permanent
Annual reports	Permanent
Board of Trustee minutes	Permanent
Bylaws	Permanent
Charter	Permanent

Environmental Health and Safety

TYPE OF RECORD	DURATION
Crime or property damage reports	4 years after report date
Evacuation drill records	5 years
Exposure monitoring records	30 years
Fire protection systems records	5 years
Homeland security chemical lists	3 years
Occupational injury or illness records	5 years

Human Resources and Payroll

TYPE OF RECORD	DURATION
Employee personnel files (including application, resume, appointment/salary forms)	6 years after end of employment
Annual payment records (W-2, payroll deduction authorization forms, payroll vouchers, payroll tax returns, time cards, wage assignment orders, payroll registers, deductions lists, employee transaction lists, etc.)	7 years
Records generated in the investigation of internal complaints (harassment, whistleblower, etc.) or bias reports that are dismissed, or where parties do not pursue	7 years after complaint filed
Records generated in the investigation of internal complaints (harassment, whistleblower, etc.) or bias reports where a finding of merit is made	Permanent
Reports filed with the Equal Employment Opportunity Commission or similar state or local governmental authority	6 years
Individual contracts of employment	6 years after end of employment
I-9 Forms	3 years, or 1 year after end of employment (whichever is greater)
Search committee records, including employment applications, resumes, and all applicant search materials	3 years
Reports to the federal government regarding welfare benefits and other fringe benefit plans	Permanent
Pension plans and all attached amendments	Permanent
Pension payment and enrollment records (employee eligibility, employee service, amount paid, etc.)	6 years after death of eligible employee and beneficiary or termination of pension
Union agreements	Permanent
Grievances	No cause findings: 3 years

	from end of employment; Cause findings, Permanent
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Faculty

TYPE OF RECORD	DURATION
Grant records (awarded)	6 years from completion of funded program
Grant records (rejected)	4 years
Inventions and related property rights (registrations, permits and licenses; trademarks, patents, copyright etc.)	Permanent
Tenure or promotion dossiers	If action approved, 3 years; If tenure denied, 3 years from end of term appointment

Insurance

TYPE OF RECORD	DURATION
Certificates of insurance, indemnification agreements, hold-harmless agreements, contracts	If no claim is presented 3 years after activity is completed; if claim, hold
Insurance policies (liability, property, and other policies)	Permanent
Incident reports, accident reports	4 years after report date or until claim is settled or closed.
Workers' compensation claims and insurance policies	18 years
Unemployment insurance records	7 years

Legal

TYPE OF RECORD	DURATION
Consent orders or conciliation agreements	Permanent
Contracts and agreements – general	7 years after expiration or termination
Court orders	Permanent
Judgments	Permanent
Legal Opinions	Permanent
Litigation documents (pleadings, discovery, transcripts, exhibits, etc.)	7 years after conclusion of matter

Releases	Permanent
Settlements	Permanent

Library

TYPE OF RECORD	DURATION
Circulation records, excluding special collections	Retained until items are returned and discharged
Circulation records for special collections	Permanent
Library catalog	Permanent

Real Property

TYPE OF RECORD	DURATION
Documents for leases, licenses, construction contracts and other contracts of a temporary nature, valued at less than \$50,000	6 years after expiration of lease or contract term
Property deeds, easements, licenses, rights of way, leases, rights of first refusal, remainder interests, mortgages, survey maps	Permanent
Abstracts of title	Until disposal of property
Real property tax exemption applications and renewal forms filed with assessors	6 full fiscal years
Title insurance policies	10 years after disposal of property
Transportation and vehicle records	6 years after disposal of the property