LONG ISLAND UNIVERSITY
RECORDS RETENTION POLICY

Statement of Policy

Long Island University requires the retention of University records for specific periods of time, regardless of format, taking into account legal and institutional requirements. Procedures for the retention and disposal of paper and electronic records are outlined below.

Responsibilities for Managing University Records

Each University Officer or 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 on expiration of the applicable retention period.

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

Retention of Records

The Appendix A tables list different types of records and the length of time those records must be retained. When a record falls into more than one category, the longer retention period should govern. We recognize that no document list can be exhaustive. Therefore, please address any questions about the retention period for a specific document or class of documents not included in the appendix to the Office of the University Counsel. In addition, all records pertaining to ongoing or pending audits or lawsuits (including 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; bring it to the attention of 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, which would supersede the requirements listed below. If such conditions exist, you will be notified in writing by the Office of the University Counsel.

The Appendix tables list the most common University records. Almost every department or office will have documents requiring retention that are NOT in the Appendix. Those records will be added to the Appendix on a case by case basis, after consultation with University Counsel.

Adopted August 2009
Amended April 2013

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. 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 containing both information used to identify an individual (name, address, photograph) **AND** that facilitates identity theft (e.g. social security number, driver's license number, mother's maiden name, financial services or bank account number) must be disposed of as required by New York State's Disposal of Personal Records law. These records must be discarded by: (i) shredding the record, (ii) destroying the personal identifying information contained in the record before disposing of the record, (iii) modifying the record to make the personal identifying information unreadable before disposing of the record or (iv) 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 records are to be destroyed by other means, first contact University Counsel to confirm that disposal will comply with State law.

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APPENDIX A

STUDENTS

TYPE OF DOCUMENT	DURATION
Application packet of students who did not enroll (including high school or other college transcripts and standardized test	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	5 years from graduation or date of last attendance
Academic records (including narrative evaluations, competency assessments, etc.)	Permanent
Academic and Non-Academic disciplinary dismissals	Permanent
Academic progress (including evidence of enrollment status, Class attendance logs, quizzes, final exams, course syllabi)	4 years from graduation or date of last attendance
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 yearfrom enrollment
Financial aid records (applicants who enroll)	5 years from graduation
Grade sheets	Permanent
Graduation lists	Permanent
Hold or encumbrance authorizations	Until released
Manual grade change forms	Permanent
Name changes	Permanent
Student conduct and disciplinary files	7 years*
Student registration forms	1 year from registration
Term reports	7 years
Transcripts	Permanent
Transcript requests	1 year from submission

* **STUDENT CONDUCT RECORDS RETENTION POLICY**

The existence of all student conduct records and the contents of such records are kept and maintained by the Director of Community Standards and Civic Engagement in accordance with the Family Educational Rights and Privacy Act of 1974, as amended; and in accordance with the policies and procedures outlined by Long Island University. While most records will be retained for a period of seven years, at its discretion, the University reserves the right to retain student conduct files permanently in accordance with the policies and procedures outlined by the University; and pursuant to U.S. Department of Education, Office of Civil Rights.

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ACCOUNTING & 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	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

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

ENVIRONMENTAL / OCCUPATIONAL SAFETY AND HEALTH

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 & PAYROLL

TYPE OF RECORD	DURATION
Employee personnel files (including application, resume, appointment/salary forms)	6 years after end of employ
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 by internal complaint investigations (harassment, whistleblower, etc.) or bias reports that are dismissed, or where parties do not pursue	7years after complaint filed
Records generated in internal complaint investigations (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	6years after end of employ
1-9 Forms	The greater of 3 years or 1 year after end of employ
Search committee records, including employment applications	3 years
Federal government reports about 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 employee or beneficiary or termination of pension
Union agreements	Permanent

Grievances	No cause findings: 3 years from end of employment; Cause findings: permanent

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 approved, 3 years; if 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)	7 years after conclusion of matter
Releases	Permanent

LIBRARY

TYPE OF RECORD	DURATION
Circulation records, excluding special collections	Retained until items are returned or 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	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	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 property

STUDENT HEALTH RECORDS

***** Student must retain copies of all records which are submitted to LIU.***

TYPE OF RECORD	DURATION
Immunization Records (Enrolled Students)	3 years after the student graduates; or 3 years after a student's last completed semester of enrollment
Immunization Records (Prospective Students who are accepted and registered but withdrawn prior to attending classes)	Not retained
Medical and Psychological treatment records	7 years
Clinical clearances	2 years after the student graduates; or 2 years after the last completed semester of enrollment