

Mount St. Joseph University
Records retention Schedule

Department/Function	Document	Owner	Paper/Electronic	Retention Period	Notes
General / Corporate					
	Annual or Summary Reports	VPIA	Paper and/or Electronic	Permanent	
	Attorney Opinion Letters (Real Estate)	CFO	Paper	Permanent	
	Final College Budget	CFO	Paper and/or Electronic	Permanent	Maintained in Archives
	Contracts and Agreements	CFO/Compliance Officer	Paper	15 years after Termination	
	Correspondence - Legal	Compliance Officer	Paper and/or Electronic	Permanent	
	Correspondence - Regulatory	Compliance Officer	Paper and/or Electronic	Permanent	
	Deeds and Titles	CFO	Paper	Permanent	
	Deeds and Titles for Donated Real Property Later Sold	CFO	Paper	Permanent	
	General / Routine Correspondence	Various	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Strategic Planning Documents	CIO	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Mortgage, Bond and Long-term Debt Records	CFO	Paper	Permanent	
	Bond Documents	CFO	Paper	Permanent	
	Property Records	CFO	Paper	Active+5 years	
	Sales of Property Records	CFO	Paper	Permanent	
	Special Correspondence	Appropriate Line Officer	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Formal Speeches and Papers Presented by President	Asst. to the President	Paper and/or Electronic	Permanent	
	HLC Accreditation reviews and reports & Self Study Documents	Asst. to the President	Paper and/or Electronic	Permanent	
	Federal Financial Responsibility	CFO	Paper and/or Electronic	Permanent	
	College Committee Assignments	Asst. to the President	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	State of Ohio Certificate and Charter number records	CFO	Paper and/or Electronic	Permanent	
	Other state certificates of authority	CFO	Paper and/or Electronic	Permanent	State of Kentucky
	College Committee Meeting Minutes	Various	Paper and/or Electronic	Indefinite	Destroy when no longer useful
Board of Trustees					
	Articles of Incorporation	Asst. to the President	Paper	Permanent	
	Board of Trustees Meeting Minutes	Asst. to the President	Paper and/or Electronic	Permanent	
	By-laws	Asst. to the President	Paper	Permanent	
	Board Committee Meeting Minutes	Asst. to the President	Paper and/or Electronic	Permanent	
	Minutes of Board Standing/Ad Hoc/Special Appointed Committees	Various	Paper and/or Electronic	Permanent	Separate documents or reflected in board committee minutes
Academic Administration					
	Faculty Name & Address Lists	Adm Assistant to the VPAA	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Informational and Reference Material	Adm Assistant to the VPAA	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Minutes of Administrative/Faculty/Department Meetings	Adm Assistant to the VPAA	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Periodic Reports	Adm Assistant to the VPAA	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Professional Development and Sabbatical Request	Adm Assistant to the VPAA	Paper and/or Electronic	Indefinite	Destroy Duplicates after combining files
	Promotion & Tenure Committee Actions	Adm Assistant to the VPAA	Paper and/or Electronic	Permanent	
	Faculty Evaluations	Adm Assistant to the VPAA	Paper and/or Electronic	Termination Date + 7 years	
	Faculty Course Evaluations	Adm Assistant to the CFO	Paper and/or Electronic	5 years	
	Faculty Contracts for Course Development & Intellectual Property Rights	Adm Assistant to the VPAA	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Grade Appeal Support	Adm Assistant to the VPAA	Paper and/or Electronic	5 years after appeal	
	Full time and adjunct faculty contracts	Adm Assts to VPAA & CFO	Paper and/or Electronic	15 years	
	High School Dual Enrollment Student Enrollment Form (copies)	Adm Assistant to the VPAA	Paper and/or Electronic	last date of attendance + 5 years	Originals forwarded to SAS
ISS					
	Email Backup	Director of TIS	Electronic	1 year	
	Employee Directories	Director of TIS	Paper and/or Electronic	5 years	
	Software licenses and support agreements	VP of Info, Tech, & Strategic Planning	Paper and/or Electronic	7 years after all obligations end	
	Trademarks, registration, patents, and copyrights	VP of Info, Tech, & Strategic Planning	Paper and/or Electronic	Permanent	
	CX backups	Director of Adm Computing	Electronic	Indefinite	Destroy when no longer useful
	Course materials stored in Learning Management System	Dir of Instructional Tech	Electronic	7 years	
	College archives	Dir, Library Services	Paper and/or Electronic	Indefinite	
Institutional Research					
	IPEDS	Dir. Of Inst. Research	Paper and/or Electronic	Permanent	Archive after 6 years
	Other External Surveys	Dir. Of Inst. Research	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Internal Statistical official records	Dir. Of Inst. Research	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Graduate and Transfers Rate calculation	Dir. Of Inst. Research	Paper and/or Electronic	Permanent	Archive after 6 years
	Degree Statistics	Dir. Of Inst. Research	Paper and/or Electronic	Permanent	Archive after 6 years
	Enrollment Statistics	Dir. Of Inst. Research	Paper and/or Electronic	Permanent	Archive after 6 years
	Race/ethnicity statistics	Dir. Of Inst. Research	Paper and/or Electronic	Permanent	Archive after 6 years

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Student Financial Services	This policy summarizes detailed policy maintained in SAS	Director of SAS			
	FSA Program Participation Agreement	CFO	Paper	Permanent	
	FISAP	Director of SAS	Paper	End of year report submitted +3 years	
	Pell Grant SOA	Director of SAS	Paper	Indefinite until Superseded	
	FSA Program Reconciliation reports	Controller	Paper and/or Electronic		
	Other FSA admin. Documents	Director of SAS/Controller	Paper and/or Electronic	End of year report submitted +3 years	
	FSA/Campus Based (Pell, ACG/SMART)	Director of SAS	Paper and/or Electronic	End of aid award year + 3 years	
	Perkins/NSL repayment records	Controller	Paper and/or Electronic	Loan cancel date or paid date or assigned date +3 years	
	Perkins/NSL Promissory notes	Controller	Paper	Indefinite until loan is satisfied	
	FFEL and Direct Loans	Director of SAS	Paper and/or Electronic	End of award year student last attended + 3 years	
	All other DOE records	Director of SAS/Controller	Paper and/or Electronic	End of year report submitted +3 years	
Insurance/Risk Mangement					
	Accident reports	Compliance Officer	Paper	7 years	
	Claims (after settlement)	Compliance Officer	Paper	7 years	
	Fire/property inspection records	Compliance Officer	Paper	7 years	
	Records and policies	Compliance Officer	Paper and/or Electronic	Active + 7 years	
	Court Documents and Records	Compliance Officer	Paper	Active	
	Deposition Transcripts	Compliance Officer	Paper	Active	
	Discovery Materials	Compliance Officer	Paper	Active	
	Litigation Files	Compliance Officer	Paper	Active+2 years	
	Property Insurance Records	Compliance Officer	Paper	Active + 7 Years	
	Liability Insurance Policies	Compliance Officer	Paper	Active + 7 Years	
	Insurance Claim Documents	Compliance Officer	Paper	Active + 7 Years	
Compliance					
	Grievances or reported violations of: Title IX, VI, VII, Rehabilitation Act	Compliance Officer	Paper and/or Electronic	7 years after resolution	
Tax					
	Correspondence - accountants	Controller	Paper and/or Electronic	7 years after applicable return is filed	
	IRS exemption determination and related correspondence	Controller	Paper	Permanent	
	IRS Form 990s	Controller	Paper	Permanent	
	Property Tax Exemption Records	Controller	Paper	Permanent	
	Sales, use and property tax returns/records	Controller	Paper and/or Electronic	7 years	
Career Center/Co-op					
	Student Employment Agreements	Director of CEEC	Paper and/or Electronic	7 years	
	Student Job Descriptions	Director of CEEC	Paper and/or Electronic	7 years	
	Other documents	Director of CEEC	Paper and/or Electronic	7 years	
Financial Records					
	1099s	Controller	Paper	7 years	
	Account Reconciliations	Controller	Paper	7 years	
	Accounts Receivable Collection Records	Controller	Paper and/or Electronic	Current+7 years	
	Accounts Receivable Detail	Controller	Paper and/or Electronic	7 years	
	Annuity Documentation	Controller	Paper and/or Electronic	Permanent	
	Audit Reports and Workpapers (Financial & Compliance)	Controller	Paper and/or Electronic	7 years	
	Audited Financial Statements/Auditor Management Letters	Controller	Paper and/or Electronic	Permanent-Archived	
	Bank Reconciliations/Statements	Controller	Paper	7 years from date filed	
	Budget Workpapers	Controller	Paper and/or Electronic	Indefinite	Destroy when no longer useful
	Budget Summary	Controller	Paper and/or Electronic	Permanent	
	Cost Center Detail	Controller	Paper and/or Electronic	7 years	
	Cash Receipts	Controller	Paper and/or Electronic	7 years	
	A/P documents/Credit Card Records/Expense Reports	Controller	Paper and/or Electronic	7 years	
	Fixed Asset Detail (Invoices, etc)	Controller	Paper	7 years	
	Fixed Asset Summary Records	Controller	Paper and/or Electronic	Permanent	
	General Ledgers and Operating Ledgers	Controller	Paper and/or Electronic	Permanent	
	Investment Detail Records	Controller	Paper and/or Electronic	7 years	
	Investment Summaries	Controller	Paper and/or Electronic	Permanent	
	Inventory Records	Controller	Paper and/or Electronic	7 years	
	Life Income Agreements	Controller	Paper	Permanent	
	Loan Documentation	Controller	Paper and/or Electronic	Permanent	
	Subsidiary Ledgers	Controller	Paper and/or Electronic	7 years	

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	Swap Documentation	Controller	Paper	Permanent	
	Wire Transfer Records	Controller	Paper	7 years	
	Unclaimed Property Records	Controller	Paper	7 years	
	Federal Cash Transactions	Controller	Paper	7 years	
Grants - Federal/State/Private					
	Federal Grants	Controller	Paper and/or Electronic	Permanent	
	Government Filings	Controller	Paper and/or Electronic	Permanent	
	Private Grants	Controller	Paper and/or Electronic	Permanent	
	State Grants	Controller	Paper and/or Electronic	Permanent	Must store in a fireproof safe Must store in a fireproof safe
Registrar					
	This policy summarizes detailed policy maintained in Registrar's Office	Registrar			
	Course Catalogs	Registrar	Paper and/or Electronic	Permanent	
	Name Change Authorization	Registrar	Paper and/or Electronic	7 years	Provide immediately to Fiscal for Red Flag
	Student File:				
	Transcript Records/HS information from admission process	Registrar	Paper and/or Electronic	Permanent	
	Transfer information				
	Class lists	Registrar	Paper and/or Electronic	Permanent	
	Commencement Program	Registrar	Paper and/or Electronic	Permanent	Archive after 6 years
	FERPA related challenges/documentation/training	Compliance & Risk	Paper and/or Electronic	Permanent	
	VA Certifications	Registrar	Paper and/or Electronic	last date of attendance + 5 years	
Admission					
	Student Application without registration	Admission	Paper and/or Electronic	3 years	
	Student Advising File once admitted	Major department	Paper and/or Electronic	last date of attendance + 5 years	
	Student VISA Information	Klabunde/Humanities	Paper and SEVIS	Indefinite	
Human Resources					
	Bureau of Workers Compensation premium and claim(s) information/documentation	Director of HR	Paper and/or Electronic	10 years	
	Employee handbooks (one set)	Director of HR	Paper and/or Electronic	Permanent	
	Employee personnel records (offer letters, performance evaluations, discipline, commendations, employee statements, investigation notes)	Director of HR	Paper and/or Electronic	7 years after termination from employment	Maintain scan of necessary documentation for 403b audit
	Form I-9 (stored separate from personnel file)	Director of HR	Paper and/or Electronic	Termination of employment + 1 year or hire date + 3 years for earlier termination End of reported year + 5 years	
	OSHA forms related to injuries and illness	Compliance Officer	Paper and/or Electronic		
	OSHA records related to medical exams or records indicating exposure to toxic substances	Compliance Officer	Paper and/or Electronic	30 years after termination from employment	
	Payroll records (compensation history, pay rate, payroll deductions, time cards)	Controller/Director of HR	Paper and/or Electronic	7 years after termination from employment	
	Retirement plan benefits (plan descriptions, plan documents)	Director of HR	Paper and/or Electronic	Permanent	
	Non-retirement benefit plan records (plan descriptions, plan documents, contracts, summary annual reports, 5500s, etc)	Director of HR	Paper and/or Electronic	8 years	
	Solicited employment applications/resumes of non-employees	Director of HR	Paper and/or Electronic	1 year from date of hiring decision	
	Unemployment compensation documentation	Director of HR	Paper and/or Electronic	5 years	
	FMLA Records and Notices	Director of HR	Paper and/or Electronic	4 years	
Payroll					
	Forms 941 and 945	Controller	Paper and/or Electronic	4 years	
	Garnishments	Controller	Paper and/or Electronic	Active	
	Notices of Employment Security Claims	Controller	Paper and/or Electronic	4 years	
	Payroll Deductions	Controller	Paper and/or Electronic	7 years	
	Payroll Master Control/Register	Controller	Paper and/or Electronic	7 years	
	Payroll Records - Other	Controller	Paper and/or Electronic	7 years	
	Salary or Current Rate of Pay	Controller	Paper and/or Electronic	7 years	
	Student Timesheets	Controller	Paper and/or Electronic	7 years	
	Timesheets	Controller	Paper and/or Electronic	7 years	
	W-2 and W-4 Forms	Controller	Paper and/or Electronic	7 years	
	Wage or Salary History	Controller	Paper and/or Electronic	7 years	
	Wage Rate Tables	Director of HR	Paper and/or Electronic	3 years	
Plant					
	Building Permits	Director of Plant	Paper	Active+5 Years	

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	Building Plans and Specifications	Director of Plant	Paper	Permanent	
	Maintenance Records	Director of Plant	Paper	Active	
	Office Layouts	Director of Plant	Paper	Active	
	Operating Permits	Director of Plant	Paper	Active	
	Property Improvement Records	Director of Plant	Paper	Active+5 Years	
	Zoning Permits	Director of Plant	Paper	Active	
Environmental Health and Safety					
	Air or Water Waste Emissions	Plant/Compliance	Paper	3 years	
	Hazardous Chemical Waste Records	Plant/Compliance	Paper	5 years	
	Laboratory Practices	Various Lab Managers	Paper	Active	
Development					
	Private Grant Files - unfunded	Director of Development	Paper and/or Electronic	1 year	
	Private Grant Files - funded	Director of Development	Paper and/or Electronic	7 years after closure	
	Gift Records	Director of Development	Paper and/or Electronic	Current + 7 years	
	Endowed Gifts records	Director of Development	Paper and/or Electronic	Permanent	
Athletics					
	Certification of Compliance	Director of Athletics	Paper	6 years	
	Certification of Eligibility	Director of Athletics	Paper	6 years	
	Certification for Particular Sport	Director of Athletics	Paper	6 years	
	Eligibility Certification by Sport, per Semester	Director of Athletics	Paper	6 years	
	Sports Sponsorship and Demographics	Director of Athletics	Paper/Electronic	6 years	
	Equity in Athletics Disclosure Report	Director of Athletics	Paper/Electronic	6 years	
	NCAA Annual Report of Revenues and Expenditures	Director of Athletics	Paper/Electronic	6 years	
	Notification of Completion of Institutional Self-Study (completed once every 5 years)	Director of Athletics	Paper	6 years	
Public Safety					
	Campus Crime Reports - Annual	Chief of Police	Paper	4 years	
	Campus Crime Reports - Interim	Chief of Police	Paper	2 years	
	Motor Vehicle Records	Director of Fleet	Paper	Active	
	Parking Violations / Tickets	Chief of Police	Paper	3 years	
Residence Life					
	Housing Records	Assistant Dean of Students	Paper Electronic	7 years Permanent	
Student Affairs					
	Disciplinary Records	Dean of Students	Paper and/or Electronic	7 years from last date enrolled or resolution	
Student Disability Services					
	Project EXCEL Student Disability Services File	Director of EXCEL	Paper/Electronic	Active + 7 years	
	Disability Services Student File	Director of TLC	Paper/Electronic	Active + 7 years	
	Learning Center Tutor Request Forms	Director of TLC	Paper/Electronic	1 year	
Wellness					
	Counseling Records	Director of Wellness Center	Paper	7 years from last session date	
	Health Services:				
	Immunizations given on campus	Director of Wellness Center	Paper	Permanent	
	Medical Records	Director of Wellness Center	Paper	7 years from last date enrolled or graduated	
	Influenza immunizations	Director of Wellness Center	Paper	1 year	
	Alcohol/Drug Biennial Reviews	Director of Wellness Center	Paper and/or electronic	3 years	

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