

Legal Record Retention Schedule

The following guidelines were adopted from relevant sections of the New York State Archives and Records Administration Records Retention and Disposition schedules which are provided to state agencies and local government. The guidelines were adopted where appropriate to address specific areas of Ithaca College. These guidelines do take into consideration applicable federal and state laws and should be adhered to accordingly. If there are areas not addressed, please call the office of legal counsel at x4-3836.

ACADEMIC AFFAIRS

Accreditation records for institutional or program accreditation, including but not limited to correspondence, reports, questionnaires, guides and related documents between the college and such accrediting bodies as the Middle States Association of Colleges and Schools or other organizations responsible for accrediting specific programs. Middle States reports are maintained by the Provost's office and school program accreditation reports by the appropriate dean's office.	PERMANENT
Academic program proposals including request 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	
For successful registration of program	PERMANENT
For failed proposal	0 after no longer needed
Curriculum/program registration records including approvals from the State University of New York and registration letters from the State Education Department	PERMANENT
Institutional evaluation files including institutional self-study documents sent to State Education Department or other accrediting bodies such as the Middle States Association of Colleges and Schools, reports and determination resulting from on-site visits for evaluation, and also including the college's response (plan or progress report) to deficiencies noted in determination letter	PERMANENT
Chartering documents concerning the college's corporate status and degree-granting authority	PERMANENT
Department educational or academic (course) informational program file	

Official copy of any literature or other material made available to the public	PERMANENT
File on each instructional course or program	6 years after course or program discontinued
Curriculum and Instruction	
Development records including but not limited to course worksheets, evaluations, and recommendations:	7 years
Course listing created for administrative convenience, containing department list of classes	0 after superseded
Course syllabus	6 years
Grade book or listing including class number and title, location, date and time class meets, student attendance, test grades, and final grade	PERMANENT
List of students majoring in a field of study	0 after superseded
Class schedule including class title, location, dates, and time of meeting	6 years
Final examinations (completed)	1 year
Final examination questions	10 years
Evaluations of course instructor	6 years

ADMISSIONS

Application Materials (undergraduate and graduate admission)	Disposition
Matriculated Students	
Applications and transcripts (Migrated to the Registrar's Office).	PERMANENT
Confidential letters of recommendation supplied for admission purposes, interview	DESTROYED
Non-Matriculated Students	
All Documents	RETAINED - 3 years

permanent records.	
Unsuccessful applicants or successful applicants requesting a deferral	3 years following year of application unless reactivated at applicant's request

AFFIRMATIVE ACTION

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 Searches	
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
The original of the affirmative action report (including attachments such as the ad copy) is retained in the Affirmative Action Office 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 Searches	
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

All materials pertaining to searches for non-exempt employees are retained in the Office of Personnel Services. After that time, materials are reviewed and portions of the materials are retained.	PERMANENT
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ALUMNI

Alumni association file containing records concerning its relations with the college	
Significant correspondence or records relating to decision-making or policy	PERMANENT
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 college sports programs, including but not limited to scouting reports, lists of prospects, recruitment proposals, and correspondence	
For student athletes entering college	3 years after graduation or date of last attendance
For student athletes who do not enter college	0 after no longer needed
Scouting reports relating to opposing teams	0 after no longer needed
Special event file	
Official copy of any program or promotional literature or photograph of events or games	PERMANENT
Background materials and supporting documentation	6 years
Athletic program records NOTE: These records may have continuing value for historical or other	6 years

research, subject to the access restrictions of the Family Education Rights and Privacy Act. Consult with the College Archivist.	
Parental consent record	6 years

CAMPUS SAFETY AND EMERGENCY SERVICES
GENERAL

Emergency call receipt and/or dispatch record	
When record contains no information on emergency medical treatment of an individual	6 years
When record contains information on emergency medical treatment of an individual	6 years, or 3 years after individual attains age 18, whichever is longer
Communications log (radio, telephone, alarm or other) recording each communication between caller and receiving unit or between dispatch unit and mobile unit or field personnel, for law enforcement agency	6 years after last entry
Tape recording of communications kept by dispatch unit of law-enforcement agency. NOTE: Recordings of serious incidents may warrant longer retention for legal reasons. These tapes should be retained until legal action is resolved. Such communications should be transferred onto a separate tape.	0 after information posted to emergency call receipt and/or equipment dispatch record
Training records for law-enforcement officers	
Individual's record of course completed, including information on course content	6 years after individual leaves service
Official copy of training manual or bulletin	PERMANENT
Course instruction records, including lesson plan, if applicable	1 year
Record of equipment (other than firearms) issued to campus safety personnel	1 year after equipment

	returned or otherwise disposed of
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LAW-ENFORCEMENT

Blotter (desk record book) containing chronological record of campus safety office activities	PERMANENT
Warrant execution and subpoena or summons service records	
Original signature copies of arrest and other warrants executed by the campus safety office	5 years after warrant executed or recalled
Other warrant related records, including copies without original signatures and warrant control records	5 years after date of most recent entry in record
Copies of subpoenas and summonses, and records of their service	2 years
Case investigation record, including but not limited to complaint, investigation report, arrest report, property record, and disposition of the case.	
When offense involved was a Class A felony or arson	PERMANENT
When offense involved was a crime (misdemeanor or felony), except Class A felony or arson	10 years after case closed
When offense involved was a violation or traffic infraction	1 year after case closed
When investigation reveals no offense has been committed by adult	3 years
When individual involved was a juvenile and no arrest was made, or no offense was committed	1 year after individual attains age 18
Individual identification file, including but not limited to fingerprint cards, photographs, record sheets from other agencies, local arrest and disposition records, and miscellaneous reports	
When offense involved was a crime (misdemeanor or felony). NOTE:	5 years after

Records created before establishment of the D.C.J.S. statewide automated identification system in 1966 are not duplicated at the State level, and it is suggested they be retained permanently.	death of individual, or 0 after individual attains age 80, whichever is shorter
When offense involved was a violation or traffic infraction	5 years
Law enforcement reports	
Daily activity, daily communications or other routine internal reports of law enforcement activity	6 years
Uniform Crime Reports submitted to State Division of Criminal Justice Services	1 year
Alcoholic beverage establishment sale and use reports, including checks of ABC violations	5 years

COUNSELING SERVICES

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 college, 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

DEVELOPMENT

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

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

ELECTRONIC DATA PROCESSING

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	6 years after equipment or system no longer in use
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	1 year after system discontinued or information no longer stored in machine-readable form, whichever is longer
Computer usage records documenting overall use of computers	
Annual reports on computer usage	6 years
Detailed daily, weekly, or other periodic records	1 year
Individual computer program usage records	

Annual or final reports on computer usage for any individual program	6 years
Summary reports, except annual or final reports, on computer usage for any program	6 years
Detailed records of computer usage for each fiscal program	6 years
Detailed records of computer usage for each non-fiscal program	1 year

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 National Director Student Loans (NDSLs)	5 years after final payment is made
Student employment records:	
Applications for student employment	1 year after student is notified of the employment decision
Materials pertaining to student employment (TRFs, disciplinary letters, etc.)	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

FISCAL GENERAL ACCOUNTING

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	
With detailed entries that include information on payee or payor and purpose	PERMANENT
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; and financial records and award-related supporting documents of Federally funded awards.	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 satisfied or otherwise 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
<u>Employee expense reports are maintained by the Treasurer's office. They 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 (September 1 for the fiscal year June 1 to May 31 unless such records are used frequently by the department.</u>	4 years
<u>Voucher authorization forms are maintained by the Treasurer's office. Departments needs only maintain vouchers beyond the completion of the annual audit (September 1 for the fiscal year June 1 to May 31)</u>	6 years

BANKING

NOTE: Section 239.7 of the Banking Law contains a 20 year statute applies to certain records of monies held in any account in a "savings bank" (as defined in Section 2.4, Banking Law).

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 slip	6 years

BILLING RECORDS

Billing records covering "chargebacks" or services provided by the college	
Student's individual account	6 years after last entry
Vendor's account	6 years after last entry

HEALTH SERVICES

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
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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
Athletic health information report determining student eligibility to participate in campus sports activities	6 years

HOUSING

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

Lottery cards and room change forms	1 full semester
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LEGALCOUNSEL'S OFFICE

Legal case file, including logs, complaints, court orders, motions, notes, briefs and closing sheets	
Significant cases which have importance or which set legal precedents	PERMANENT
Routine cases	6 years after case closed, or 3 years after any minor involved attains age 18, whichever is later
Legal brief file ("brief bank") containing duplicate copies of legal briefs from case files, retained separately for future reference	0 after no longer needed
Legal case log giving chronological listing of cases	6 years after close of all cases listed
Legal case index, including notations on activities related to case	PERMANENT
Subject file assembled and kept for reference purposes	0 after no longer needed
Individual complaint or problem case file of human rights, economic opportunity, equal employment, community relations or similar agency	
For case handled at local level (includes cases referred to New York State Division of Human Rights but returned to local agency for adjudication).	20 years after last entry
Summary record for individual case and/or master summary record of all cases	PERMANENT
Board of Trustees minutes and other materials pertaining to the Board of Trustees are maintained permanently by the secretary to the Board of Trustees.	PERMANENT

LIBRARY/LIBRARY SYSTEM

Accession records	1 year after accessioning procedure becomes obsolete
Borrowing or loaning records, including interlibrary loan	0 after no longer needed
Catalog of holdings	
Manuscript or printed catalog	PERMANENT
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

MISCELLANEOUS

Judicial records	
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 semester at the College
Records of suspension or expulsion	PERMANENT
Records of employee exposure to hazardous chemicals are maintained by the Division of Life Safety. In addition, the Division of Life Safety maintains the following additional records: master list of any chemical used by each work group, training records of employees who have received training in the hazards associated with chemicals, and all requests and replies for material safety data sheets	30 years
Minutes and other materials pertaining to Faculty Council are maintained in the Office of the Provost. Such materials are eventually deposited with the College Archivist for permanent storage.	PERMANENT
Minutes and other materials pertaining to Staff Council are maintained in	PERMANENT

the Office of the Vice President for Business and Administrative Affairs. Such materials are eventually deposited with the College Archivist for permanent storage.	
Minutes and other materials pertaining to Student Congress are maintained in the Office of Campus Activities. Such materials are eventually deposited with the College Archivist for permanent storage.	PERMANENT
The established office of record keeps minutes of departmental meetings and committees. The College Archivist will be consulted prior to destruction of such minutes to determine their historical value.	10 years

PAYROLL

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. Departments need only retain TRFs for 3 years.	6 years
Record of employee absences or accruals. NOTE: This item does not apply to an employee's time cards or sheets.	
When not posted to periodic cumulative time summary record	6 years
When posted to periodic cumulative time summary record	1 year
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	
When employment was terminated prior to satisfaction	6 years after termination of employment
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 New York State income tax records relating to employees	5 years after tax was paid

PERSONNEL

Personnel records of employees (includes exempt and non-exempt staff)	
After staff member has left the College, files are transferred to the Office of Human Resources	6 months after departure
Master summary record from personnel case file	PERMANENT

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	
For employee with no dependent survivor	3 years after termination of employee's coverage
For employee with dependent survivor	3 years after termination of dependent survivor's coverage
Claim for benefits (copy, where original is submitted directly by employee)	1 year
Health and life insurance coverage reports	6 years
Declination statement filed by employee	0 after separation from service
Unemployment insurance records	
Claim filed by employee, when claim is approved	6 years after final payment
Claim filed by employee, when claim is disqualified	3 years after filing

Claim payment reports	6 years
Personnel records of faculty	
After a faculty member has left the College, all files will be transferred to the Office of the Provost	6 months after departure
Master summary records from personnel file	PERMANENT
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)	
Department maintenance of PAFs	1 year
Office of Human Resources maintenance of PAFs	10 years

PHYSICAL PLANT

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

PRESIDENT

President's office files including but not limited to correspondence, memoranda, reports, studies, publicity items, contracts and other legal documents	
Where file documents a significant subject, or major policy-marking or program-development process	PERMANENT
Where file documents routine activity	6 years

PURCHASING

Purchase order or purchase requisition, or similar record, used to submit purchase requirement or obtain materials, supplies, or services	3 years
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Purchasing file, including but not limited to bid (successful, unsuccessful), contract and specifications for purchase of materials, supplies and services not connected with capital construction	3 years
Vendor file, including but not limited to list of vendors doing business with the college, vendor evaluation forms, price lists or other information received from vendors	0 after obsolete
Performance guarantee or written warranty for products or similar record	6 years after expiration
Invoice, statement or similar notification by vendor of supplies, materials, or equipment sent	6 years
Invoice register, or similar record used to list invoices	1 year after last entry
Packing slip, shipping ticket, copy of bill of lading or similar record used to verify receipt of materials or supplies	6 years
List or abstract of purchase orders, claims or contracts	6 years
Standing order file, used for purchase of materials and supplies which are received on a regular basis	6 years

REGISTRAR

Transcript	PERMANENT
Student folder, including but not limited to	
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
Academic action authorizations (dismissals and/or notification of problems) and employment placement records	6 years after graduation or date of last attendance
Change in Social Security number record and enrollment certification and related records	3 years

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

Recycling Guidelines

Containers will be placed in as many hallways as possible in each building. Blue containers will be used for paper and gray containers will be used for trash.

While not mandatory, we encourage everyone to sort as much material as practical and economically feasible so that it may be recycled. We suggest the following guidelines for recycling:

- Please remove all paperclips (but not staples). Set aside manila and pendaflex folders for reuse (unusable folders can be recycled, but please remember to remove the metal bars from pendaflex folders).
- Material that can be recycled includes:
 - Office and ledger paper Directories
 - Envelopes Phone books
 - Newsprint and newspaper Pamphlets/Brochures
 - Computer print-out paper Magazines
- Confidential material needs to be shredded and put in a closed plastic bag. Please place bags beside the recycling container for paper in your area. If you will have large quantities of confidential material to discard, please contact me to work out alternative arrangements to avoid shredding.
- Exchange of containers will occur on a regular basis during the day.

If you have any questions about the disposal and/or recycling of material, please feel free to call Physical Plant at 4-3225.

Back Safety Tips for Pitch Day (and everyday!)

- If the objects are too heavy to lift or move by yourself...
 - Get help.
 - Use mechanical assistance such as a push-cart or dolly.
 - Split the load and make several trips to move it.
- Before moving objects, clear any obstacles from your path.
- Get a firm grip on the object(s) before lifting.
- Keep the load close to your body. (The further away the object is, the greater the stress will be on your back.)
- Balance yourself before lifting, with feet about shoulder-width apart.
- Lift and lower loads with your leg muscles. Bend at the knees not at the waist, keeping your back and neck upright but not stiff.
- Tighten your stomach muscles just before and during the lift to provide back support.
- Lift smoothly and under control.
- Avoid twisting your torso when lifting and moving objects. Turn by moving your feet.
- Avoid lifting objects above shoulder height.
- Use a sturdy footstool to reach objects that are above your shoulders.
- If trash and recycling containers are too full, remove some of the contents to make them easier to lift.
- Always use proper lifting techniques, regardless of how heavy the object is.
- Use common sense and pace yourself!