

**FINANCE AND ADMINISTRATION
Records Management Schedule**

Item	Retention Period	Official Repository	RIT Archives
Access Control Records	6 years	Public Safety	
Accident Reports	4 years after report date	Public Safety	
Accounts payable ledger, vouchers and attachments	6 years	Controller's Office	
Accounts Receivable Ledger and Statements	6 years	Controller's Office	
Advisory Board minutes, agenda and materials	Permanent	Appropriate Advisory Board	✓
Affirmative Action Plans (including documentation)	Permanent	Office of Legal Affairs	✓
Annual Conflict of Interest Disclosure Forms (faculty and staff)	6 years	Global Risk Management Office	
Annual Tax Payment Records (941)	6 years after return is filed	Controller's Office	
Auditor Management letters	Permanent	Controller's Office	
Banking Records, including deposit and withdrawal records, bank statements and reconciliation, voided and canceled checks	6 years	Controller's Office	
Bids (accepted)	6 years after all obligations end	Purchasing Department	
Bids (rejected) <\$100,000	1 year	Purchasing Department	
Bids (rejected) >\$100,000	6 years	Purchasing Department	
Billing Records	6 years	Controller's Office	
Bond Records (Offering, Funding, and Reimbursement)	6 years after life of bond	Controller's Office	
Budget Materials	6 years	Controller's Office	
Calendars (electronic and paper), appointment books, work-related journals and diaries	6 years	Appropriate Department	
Capital Equipment Records	Life of Asset	Controller's Office	
Cash Receipts	6 years	Controller's Office	
Certificates of Insurance, Indemnification Agreements, Hold Harmless Agreements, Contracts	6 years after expiration	Appropriate College/Department	
Chart of accounts	Permanent	Controller's Office	
Chemical Inventories	6 years	Environmental Health and Safety	

Clery Act and Uniform Crime Reports	4 years after report date	Public Safety	
Committee and Task Force minutes, agenda and materials, including standing and ad hoc committees	Permanent	Appropriate Committee	✓
Consent Orders	Permanent	Office of Legal Affairs	
Consultant contracts/files (expired)	6 years after all obligations end	Appropriate Department	
Consultant contract/files (not retained/hired)	1 year after decision to not retain/hire	Appropriate Department	
Contracts and agreements (not otherwise listed)	6 years after all obligations end	Appropriate Department	
Contracts with employees	6 years after all obligations end	Appropriate Department	
Court Orders	Permanent	Office of Legal Affairs	
CPD Semtek Database (training records prior to mid-2006)	Permanent	Center for Professional Development	
CPD Session Folders containing all information regarding events sponsored by CPD; saved by session, by month, and by year	Permanent	Center for Professional Development	
Crime Reports	4 years after report date	Public Safety	
Critical Incident Files	6 years	Global Risk Management Services	
Deeds	Permanent	Office of Sr. VP Finance & Administration	✓
Depreciation Records	Life of Asset	Controller's Office	
Department Heads and Chairs resumes	Permanent	Human Resources	✓
Departmental Policy and Mission Statements	Permanent	Appropriate College/Department	✓
Direct Loan Counseling Records (Exit)	3 years after loan is repaid, canceled, or assigned to the Department of Education	Student Financial Services	
Directories	2 years	Office of the Chief Information Officer	✓
Disability & sick-benefit records	6 years from date of termination	Human Resources	
DHS Records	Permanent	Environmental Health and Safety	
EEO Reports	Permanent	Office of Legal Affairs	

EH&S Incident Records	5 years	Environmental Health and Safety	
Elevator Certifications	6 years	Environmental Health and Safety	
Employee applications and resumes-employees	6 years after employment ends	Human Resources	
Employee Background Checks (including Controlled Substance Test Results)	6 years after employment ends	Human Resources	
Employee Benefit Plan Documents and All Attached Amendments	Permanent	Human Resources	
Employee elections/referrals	6 years after employment ends	Human Resources	
Employee Eligibility for Benefits	6 years after death of eligible employee or beneficiary	Human Resources	
Employee Fringe Benefit Payment Records (including determination of value)	6 years	Controller's Office	
Employee Medical Documentation (store separate from personnel file)	6 years from termination	Human Resources	
Employee orientation & training materials	Permanent	Human Resources	✓
Employee Pay Statements	6 years from date of statement	Human Resources	
Employee Reimbursement Records	6 years	Controller's Office	
Employee Service Records	6 years after death of eligible employee or beneficiary	Human Resources	
Employee W-2 or 1099	6 years	Controller's Office	
Employment applications and resumes – non-employees	3 years	Human Resources	
Equipment files & maintenance records	6 years after disposition	Appropriate College/Department	
Equipment leases	6 years after disposition	Appropriate College/Department	
Evacuation Drill Records	6 years	Environmental Health and Safety	
Excise Tax Returns	6 years after return is filed	Controller's Office	
Expense reports	6 years	Controller's Office	
Federal Reporting Requirements: welfare benefits and other fringe benefit plans	Permanent	Human Resources	

Federal Student Aid records (including program transactions and statements)	6 years	Controllers' Office	
Financial records, supporting documents, statistical records and all other records pertinent to an award	6 years from the date of the submission of the final report (New York State awards) 3 years from the date of the submission of the final report (for federal awards)	Controller's Office	
Financial statements (audited) and work papers	6 years	Controller's Office	
Fire Inspection Systems Records and Reports	6 years	Environmental Health and Safety	
Form 5500 (including supporting documentation)	6 years	Human Resources	
General Correspondence (including emails)	6 years	Appropriate Department	
Governance Groups minutes, agenda and materials (including Student groups)	Permanent	Appropriate Governance Group	✓
Grievances (Staff)	6 years from termination	Human Resources	
Hazardous Waste Disposal Manifests and Reports	6 years	Environmental Health and Safety	
Imputed Income Records	6 years	Controller's Office	
Human Resources Discrimination and Harassment Files	6 years from termination of Employee or 10 years from date of initial complaint, whichever is shorter	Human Resources	
Income Tax Returns	6 years after returns are filed	Controller's Office	
Indirect Cost Rate Calculations	3 years following end of effective date	Controller's Office	
Information Returns (990, 1099, 8282, etc.)	6 years after returns are filed	Controller's Office	
Information Returns filed with Federal and State authorities (Census Bureau, Labor Department, Questionnaires, etc.)	6 years after returns filed	Controller's Office	

Institute Policies and Procedures Manual	Permanent	Office of the Provost	✓
Institutional Research and Policy Studies Reports (internal and external)	3 years	Institutional Research and Policy Studies	✓
Institutional Research and Policy Studies Internal Analyses	6 years	Institutional Research and Policy Studies	
Insurance Applications (including documentation)	6 years	Global Risk Management Services	
Insurance Policies (liability, property and other policies)	Permanent	Global Risk Management Services	
Integrated Postsecondary Education Data System (IPEDS) Reports	3 years	Institutional Research and Policy Studies	✓
Internal Audits/Reviews/Files and Work Papers (all engagement types)	10 years	Institute Audit, Compliance and Advisement	
Internal Audit Reports (all engagement types)	Permanent	Institute Audit, Compliance and Advisement	
Investment consultant reports	6 years	Controller's Office	
Internal Human Resources Employee Investigations (non-Hearing Panel Approach, includes notes, reports, and documentation)	6 years from date of termination of Employee	Human Resources	
Internal Human Resources Employee Investigations (Hearing Panel Approach-violation found, includes notes, reports, and documentation)	6 years from date of termination of Employee	Human Resources	
Internal Human Resources Employee Investigations (Hearing Panel Approach-no violation found, includes notes, reports, and documentation)	6 years from termination of Employee or 10 years from date of initial complaint, whichever is shorter	Human Resources	
Investment manager contracts (including correspondence)	6 years after all obligations end	Controller's Office	
Investment performance reports	6 years	Controller's Office	
Invoices	6 years	Controller's Office	
IRS exemption determination & related correspondence	Permanent	Controller's Office	
IRS Form I-9 (store separate from personnel file)	3 years after date of hire or 1 year after end of service, whichever is longer	Human Resources	

Journal entries with backup	6 years	Controller's Office	
Judgments	Permanent	Office of Legal Affairs	
Labor Certifications (including recruitment materials and supporting documentations)	5 years from filing of certification	Human Resources	
Leave Reporting Documents	4 years	Human Resources	
Litigated Claims	6 years after settlement	Office of Legal Affairs	
Material Safety Data Sheets	40 years	Environmental Health and Safety	
Monthly Health and Safety Inspection Reports	6 years	Public Safety	
Mortgages, security agreements	6 years after all obligations end	Office of Sr. VP Finance & Administration	
New York State Education Department Surveys, Reports, and Registrations	3 years	Institutional Research and Policy Studies	✓
Notification of Ban from Campus	6 years	Public Safety	
OSHA Illness or Injury Records or Logs	40 years	Environmental Health and Safety	
OSHA Safety and Health Training Reports	6 years	Environmental Health and Safety	
Overpayment/Repayment of Wages Forms	6 years after termination of employment	Controller's Office	
Parking Tickets (Paid and Unpaid)	6 years	Facilities Management Services	
Payroll Deduction Authorization Forms	6 years after employment ends	Controller's Office	
Payroll Vouchers	3 years	Controller's Office	
Performance Appraisals and related documents	3 years after termination	Appropriate Department	
Periodicals and Newsletters (departmental, administrative, and student groups)	2 years	Appropriate College/Department	✓
Perkins Loan Counseling Records (Entrance and exit)	6 years	Student Financial Services	
Perkins Loan Promissory Notes	3 years after loan repaid, canceled, or assigned to Department of Education	Student Financial Services	
Personnel files, appointment letters and forms	6 years from date of termination	Human Resources	

Photos, Videos, Films and DVDs	Permanent	Appropriate College/Department	✓
Portable Extinguisher Training Records	6 years	Environmental Health and Safety	
Post Award Grant and Contract Files (not including financial records)	6 years after close of grant (for New York State awards) 3 years after close of grant (for federal awards)	Controller's Office	
Post Award Grant and Contract Files (financial records)	9 years after end of fiscal year in which transaction occurred	Controller's Office	
Posters and Flyers (departmental, administrative, and student groups)	2 years	Appropriate College/Department	✓
Private Grants, Contract Documents and Files	3 years after end of all obligations	Controller's Office	
Private Use Records	6 years after life of bond	Controller's Office	
Property Damage Reports	4 years after report date	Public Safety	
Public Safety Officer Daily Activity Logs	4 years	Public Safety	
Purchase Orders (including supporting documentation)	6 years	Purchasing Department	
Quarterly Lab Inspections	6 years	Environmental Health and Safety	
Radiation Dose Reports	Permanent	Environmental Health and Safety	
Radiation Safety Training Records	6 years	Environmental Health and Safety	
Radioactive Material Receiving and Inventory Records	6 years	Environmental Health and Safety	
Real Property Leases (current and expired)	6 years after all obligations end	Office of Sr. VP Finance & Administration	
Record of Payments and Deductions	5 years	Controller's Office	
Record of student accounts (including charges, cash payments, Federal Student Aid payments, cash disbursements, refunds, returns, and overpayments)	6 years	Student Financial Services	
Releases	Permanent	Office of Legal Affairs	
Repair Service Documentation	6 years	Digital Den	
Request for Proposals	6 years	Purchasing Department	

Safety Plan Acknowledgement Form	6 years	Appropriate Department
Sales Receipts (computers/devices, software, accessories, photo equipment/accessories, etc.) hard copy and electronic records	6 years	Digital Den
Sales Tax Returns	6 years after return is filed	Controller's Office
Search Committee Records (including committee members' notes) - hired candidate	6 years after employment ends	Human Resources
Search Committee Records (including committee members' notes) - candidates not hired	3 years	Human Resources
Settlements	Permanent	Office of Legal Affairs
Software Licenses & Support Agreements	6 years after all obligations end	Appropriate Department
Subpoenas (Information Subpoenas) received by Payroll	Permanent	Payroll
Subpoenas (and responsive documentation)	Permanent	Office of Legal Affairs
Summary Plan Descriptions	Permanent	Human Resources
Tax audit closing letters	Permanent	Controller's Office
Threat Assessment Team Files	6 years after creation or close of file (whichever is greater)	Global Risk Management Services
Time Cards (including student employees)	3 years	Controller's Office
Trial Balances	6 years	Controller's Office
Tuition Fees and Schedules	Permanent	Student Financial Services
Unemployment Insurance claims and supporting documents	6 years	Human Resources
Unlitigated Claims	6 years after settlement	Global Risk Management Services
Wage Assignment Orders	5 years after closed	Controller's Office
Workers Compensation claims and supporting documents	18 years	Human Resources