

LEHIGH UNIVERSITY RECORDS MANAGEMENT AND RETENTION POLICY

I. PURPOSE

University records are a valuable asset. The University is committed to the effective management and retention of its records as necessary to fulfill its educational mission, comply with legal requirements, and preserve its history. The purpose of this policy is to ensure that the University:

- Complies with legal, contractual, or accreditation requirements for the retention, privacy, and security of records;
- Retains records for which there is continuing administrative or operational need and has mechanisms for ensuring the authenticity, reliability, and usability of such records (including as needed for business continuity / disaster recovery);
- Destroys outdated and useless records in order to optimize the use of space and minimize the costs of record storage; and
- Retains records that are valuable to the preservation of the University's history.

II. DEFINITIONS

University Records:

University records include any document or group of documents related to a specific subject or transaction created or accumulated during the course of University operations and business. Records may be in a variety of formats, including paper, electronically stored information, email, databases, microfilm, other electronic media, photographic, audio, video, or film recordings.

Official Repository:

The University department, office, center, or unit designated as having responsibility for retention and timely destruction of the original of a particular type of University record.

Litigation Hold:

If the University becomes involved in a legal dispute, a litigation hold may be imposed. A litigation hold compels the University to retain any and all records that may be relevant to a lawsuit that has been filed or one that is reasonably anticipated. Sometimes referred to as a "preservation order," a litigation hold suspends normal record retention guidelines and ensures that records are maintained and not tampered with from that point forward. Destroying or altering any record during a litigation hold is against the law.

III. RECORD RETENTION: LOCATION (OFFICIAL REPOSITORY) AND RETENTION PERIODS

The Appendix to this Records Management and Retention Policy lists the general types of University records, the official repository of such records within the University, and the retention period for such records.

Federal and state laws and regulations require that the University adhere to certain record retention requirements and periods of retention. The appropriate time periods for record retention are fact-specific and are subject to ongoing modification from time to time by government statute or regulation, judicial or administrative consent order, private or governmental contract, pending litigation or audit requirements. Such modifications supersede the retention period for the applicable record stated in the Appendix to this Policy. A temporary modification of a retention period or suspension of record destruction required for any of these reasons will be accomplished by a notice sent out to affected University departments by the Office of the General Counsel, the Office of Internal Audit, the Controller's Office, or the Office of Research and Sponsored Programs. A permanent modification of a retention period will be accomplished by amending Appendix A.

No list of University records can be exhaustive. Questions regarding the retention period for any specific University record or category of records not included in the Appendix to this Policy should be directed to the Office of the General Counsel.

IV. DEPARTMENTAL RECORDS MANAGEMENT

Each University department should designate a records manager who is familiar with this Records Management and Retention Policy and who will assume responsibility for:

- Restricting access to confidential records and information to those who need access to such records for the appropriate performance of their job responsibilities;
- Informing and educating staff within the department on proper record management practices; and
- Coordinating the destruction of records as provided by this Policy.

The General Counsel's Office is available to advise and assist individual departments to implement these requirements.

V. SAFEGUARDING RECORDS CONTAINING CONFIDENTIAL INFORMATION

Many records subject to record retention requirements contain confidential information (non-public information including, but not limited to, name, address, social security number, bank account numbers, financial or financial aid information, student identification numbers, medical information, employment information, etc.) Such records are protected by federal and state statutes including the Family Educational Rights and Privacy Act (FERPA), the Gramm-Leach-

Bliley (GLB) Act, and the Health Insurance Portability and Accountability Act (HIPAA). In addition to the statutory requirements, any record that contains confidential information should be treated in accordance with University and departmental data security policies and procedures.

The records manager of a department should ensure that active and inactive financial records (paper and electronically stored information) are stored in a secure location. The storage location must provide appropriate confidentiality and protection from unauthorized inspection, theft, and physical damage due to a fire, water, or natural disaster. The records manager should use sound judgment in restricting access to financial records, giving consideration to the degree of confidentiality warranted for such records.

VI. OWNERSHIP OF UNIVERSITY RECORDS

University records are the property of the University and do not belong to those who prepare such records or to the custodian for such records. No employee has any personal or property right to records of the University, including those records that the employee helped develop or compile, and no employee may remove or copy such records for personal use.

VII. ELECTRONICALLY STORED INFORMATION

The ease with which electronically stored information may be created, and the number of places where such information may be stored require that the University manage its electronically stored information effectively, efficiently, and consistent with its legal obligations. Accordingly, departments should include electronically stored information when managing their records and implementing this Policy.

VIII. DISPOSAL AND DESTRUCTION OF RECORDS

If it is determined that, consistent with this Records Management and Retention Policy, it is appropriate to dispose of any records, they can be destroyed in one of the following ways:

- Recycle nonconfidential paper records;
- Shred confidential paper records;
- Erase or destroy electronically stored information (Library and Technology Services (LTS) can assist in effectively disposing of this data); or
- Physically destroy audio, video, or film recordings

University departments that are not official repositories of a University record and that retain duplicate or multiple copies of such University records should dispose of them when there is no longer an administrative or operational need for such records, but not later than the retention period listed in Appendix A.

APPENDIX A**O = As Needed for Operations****H = Retained for Historical Purposes**

Type of Record	Official Repository	Duration
ALUMNI		
Alumni Association Board of Directors (Membership, Minutes)	Alumni Association	Permanent
Alumni Association Contracts	Alumni Association	Length of contract + 7 years
Alumni Publications (e.g. Alumni Bulletin)	Alumni Association	H
Alumni Records	Alumni Association	Permanent
Class Yearbooks	Alumni Association	H
Governance Records (Articles of Incorporation, Bylaws)	Alumni Association	Permanent
ATHLETICS		
Coaching Staff Personnel Records	Athletics	6 years after termination
Facility Operations Records	Athletics	O
NCAA Eligibility and Compliance Records	Athletics	6 years after graduation
Operations Records	Athletics	O
Sports Medicine Records	Athletics	6 years after graduation
Student Athlete Records	Athletics	6 years after graduation
Summer Camp Records	Athletics	6 years after graduation
Ticket Records	Athletics	O
AUDIT		
Conflict of Interest Employee Disclosure Forms	Internal Audit	10 years
External Audit Reports	Internal Audit	20 years
Internal Audit Reports	Internal Audit	20 years
BOARD OF TRUSTEES		
Board Meeting Minutes (Board of Trustees, Committees)	Secretary, Bd. of Trustees	Permanent
Governance Records (University Charter, Bylaws)	Secretary, Bd. of Trustees	Permanent
DEVELOPMENT		
Annual Fund Records	Development	Permanent
Call Reports	Development	O
Capital Campaign Records	Development	Permanent
Cash Gift Records	Development	Permanent
Endowment Agreements	Development	Permanent
Planned Gift Agreements	Development	Permanent
Pledges	Development	Permanent
Wills/Bequests	Development	Permanent
ENDOWMENT		
Investment Agreements	Investment Office	Length of Contract + 7 years
Investment Manager Agreements and Records	Investment Office	Length of Contract + 7

		years
Investment Office Operations Records	Investment Office	0
ENVIRONMENTAL HEALTH AND SAFETY		
Accident Reports	Office of Environmental Health and Safety	5 years
Air Monitoring or Area Sampling	Office of Environmental Health and Safety	Employment + 10 years
Chemical Inventories and Lists	Office of Environmental Health and Safety	5 years
Fire Incident Reports	Office of Environmental Health and Safety	5 years
Fire Protection Systems Records	Office of Environmental Health and Safety	5 years
Hazardous Material Spill Reports	Office of Environmental Health and Safety	10 years
Hazardous Waste Disposal Manifests and Reports	Office of Environmental Health and Safety	Permanent
Safety Incident Investigation Reports	Office of Environmental Health and Safety	5 years
FACILITIES		
Building/Site Plan Specifications	Facilities Services and Campus Planning	Permanent
Building/Zoning Permits	Facilities Services and Campus Planning	Length of project
Capital Construction Final Payment Records	Facilities Services and Campus Planning	See Accounts Payable Records
Capital Construction Materials and Equipment Info/Correspondence	Facilities Services and Campus Planning	Permanent
Capital Construction Project Contracts	Facilities Services and Campus Planning	Length of Contract + 7 years
Maintenance Records	Facilities Services and Campus Planning	7-10 years
Operating Permits (e.g., elevators)	Facilities Services and Campus Planning	until expiration
FACULTY		
HIRING		
Academic Search	Office of the Provost	3 years after search
I-9	Office of the Provost	
PROMOTION and TENURE		
Promotion Reviews	Office of the Provost	6 years after retirement or termination
Tenure Reviews	Office of the Provost	6 years after retirement or termination
FACULTY PERSONNEL FILES		
Tenure/Tenure Track Faculty (Appointment and Reappointment letters, Professional Activity Reports, Travel Requests)	Office of the Provost	6 years after retirement or termination

Other Faculty and Instructional/Research Personnel (e.g. adjunct, visiting, research scientists/engineers)	Office of the Provost	6 years after retirement or termination
ACADEMIC ADMINISTRATIVE RECORDS		
Faculty Meeting Minutes, Agendas, etc.	Secretary of the Faculty	O, H
FINANCE and ADMINISTRATION		
ACCOUNTING and FINANCE RECORDS		
Accounts Payable Records	Controller's Office	6 years
Accounts Receivable Records	Office of the Bursar	6 years
Annual Financial Reports		Permanent
Banking Statements and Reconciliation Records		6 years
Capital Equipment Records		life of asset: records of equipment purchased on federal funds must be retained for 3 years after final disposition
Depreciation Records		Life of Asset
Indirect Cost Rate Calculations		6 years
Travel Reimbursements		6 years
Bond Financing Documents	Office of the Treasurer	Term of Bonds + 7 years
BUDGET RECORDS		
Budget Records		
PAYROLL RECORDS		
Annual Payment Records (W-2)	Payroll Office	5 years
Departmental Time Reports	Payroll Office	5 years
Timesheets (non-exempt, wage employees)	Payroll Office	3 years
I-9s	Payroll Office	3 years after date of hire or 1 year after termination
Payroll Deduction Authorization Forms	Payroll Office	5 years after authorization expires or is superseded
Salary or Current Rate of Pay		
W-4 Forms	Payroll Office	5 years after superseded or employment ends
Wage or Salary Histories		
TAX		
Information Returns (990, 1099, etc)	Controller's Office	Permanent
Payroll Tax Returns (W2, SS, Unemployment)	Controller's Office	6 years
Property Tax Returns	Controller's Office	6 years
Sales Tax Returns	Controller's Office	6 years
Unrelated Business Tax Income (UBTI) Returns	Controller's Office	6 years
GOVERNMENT RELATIONS		
External Board Service Records	Government Relations	
Federal/State Appropriations Requests	Government Relations	
Government Grant Records (non-research)	Government Relations	
Lobbying Disclosure Records	Government Relations	
Lobbyist Contracts	Government Relations	Length of contract + 7 years

HUMAN RESOURCES		
AFFIRMATIVE ACTION/EQUAL OPPORTUNITY		
AA/EO Statistics and Reports	Institutional Research	
Affirmative Action Plans	Office of the Provost	Permanent
HIRING		
Hiring (Applications/Resumes)	Human Resources	6 years after retirement or termination
Job Postings/Search	Human Resources	
I-9	Human Resources	
EMPLOYEE PERSONNEL FILES		
Performance Reviews	Human Resources	3 years
Employee Service Records/Personnel Files	Human Resources	6 years after death of eligible employee and beneficiary
Position Descriptions	Human Resources	6 years after death of eligible employee and beneficiary
Wage Employee Files (authorizations)	Human Resources	
BENEFITS and PENSION RECORDS		
Beneficiary Designation Records	Human Resources	
Disability and Sick Leave Records	Human Resources	
Employee Assistance Program (EAP)	Human Resources	
Health, Life and Disability Insurance Plan Documents	Human Resources	
Retirement/Pension Plans	Human Resources	Permanent
LEGAL		
Contracts	Office of the General Counsel	Length of contract + 7 years
Govt. Regulatory Compliance Filings	Office of the General Counsel	Permanent
Litigation Files/Claims	Office of the General Counsel	0
Opinion Letters	Office of the General Counsel	10 years
Policy Documents	Office of the General Counsel	0
POLICE		
Annual Crime Reports and Related Documentation	University Police	7 Years
Accreditation Records	University Police	Permanent
Citations	University Police	7 Years
Investigation Records	University Police	7 Years
Officer Personnel Files	University Police	6 years after termination
Prosecutions	University Police	7 Years
PURCHASING		
Contractor Performance Bonds	Purchasing Services	Length of contract + 7 years
Contracts	Purchasing Services	Length of contract + 7 years
Purchase Orders	Purchasing Services	7 years

Requests for Proposals and Responses to RFPs	Purchasing Services	7 years
REAL ESTATE		
Lease Agreements	Office of the Treasurer	7 years after expiration of lease or contract term
Property Deeds	Office of the Treasurer	Permanent
Title Insurance Policies	Office of Risk Management	Permanent
RESEARCH ADMINISTRATION/TECH TRANSFER		
Animal Care and Use Records	Office of Research and Sponsored Programs	3 years after conclusion of research
Corporate Sponsored Research Agreements	Office of Research and Sponsored Programs	Length of contract + 7 years
Grant Proposals, Grant Awards, and Supporting Documentation	Office of Research and Sponsored Programs	3 years after close of grant
Human Subject Records	Office of Research and Sponsored Programs	3 years after conclusion of research
Invention Assignment Forms	Office of Research and Sponsored Programs	Permanent
Licensing Agreements	Office of Research and Sponsored Programs	7 years from expiration or termination of agreement
Research Effort Reporting	Office of Research and Sponsored Programs	3 years after close of grant
PATENTS and TRADEMARKS		
Patents	Office of Research and Sponsored Programs	Permanent
Royalty Records	Office of Research and Sponsored Programs	Life of Technology/Patent or Trademark + 6 years
Trademark Filings	University Relations	Permanent
RISK MANAGEMENT AND INSURANCE		
Certificates of Insurance	Office of Risk Management	6 years after expiration
Incident or Accident Reports	Office of Risk Management	4 years after report date
Indemnification Agreements	Office of Risk Management	6 years after expiration
Insurance Policies	Office of Risk Management	Permanent
STUDENT RECORDS		
ACADEMIC		
Academic Actions	Office of the Registrar	5 years from graduation or date of last attendance
Change of Grade Requests	Office of the Registrar	Permanent
Class Lists	Office of the Registrar	Permanent
FERPA Requests	Office of the Registrar	Until graduation or date of last attendance
Grade Sheets	Office of the Registrar	Permanent
Graded Assignments (Exams, Papers)	Faculty Member	As required by the appeal process in Student Handbook
Graduation Lists	Office of the Registrar	Permanent

Student Class Schedules	Office of the Registrar	1 year from graduation date or date of last attendance
Transcript Requests	Office of the Registrar	1 year from submission date
Transcripts	Office of the Registrar	Permanent
Transfer Credit Requests	Office of the Registrar	5 years from graduation
Withdrawal/Leave of Absence Authorizations	Office of the Registrar	2 years
STUDENT RECORDS (Continued)		
ADMISSIONS RECORDS		
Advanced Placement Records	Office of the Registrar	5 years from graduation date or date of last attendance
Applications for Admission (Matriculating Students) and Related Records (High School Transcripts, SAT, Letters of Recommendation, TOEFL, etc.)	Office of the Registrar	Permanent
Applications for Admission/Readmission (Non-matriculating Students) and Related Records (High School Transcripts, etc.)	Office of the Registrar	5 years from graduation date or date of last attendance
International Student Forms (I-20, etc.)	Office of International Students and Scholars	5 years
Monthly Audit	Office of Admissions	O
Program Attendees/Contact Lists	Office of Admissions	O
Student Worker Privacy Statements	Office of Admissions	Term of Student Employment
Various reports (ex. Lists of students by Academic Index, Cohort, Attribute, Region Code, Non-Citizens, Ethnicity, # of Contacts, Alumni Club Code, etc.)	Office of Admissions	O
STUDENT TUITION, BILLING and FINANCIAL AID RECORDS		
Financial Aid Applications	Office of Financial Aid	5 years from graduation date or date of last attendance
Gold Plus Merchant Participation Agreements and Records Bursar	Office of the Bursar	Length of contract + 7 years
Gold Plus User Records	Office of the Bursar	Account close + 5 years
Loan Records	Office of Financial Aid	3 years after loan is repaid in full
Other Fees (e.g. room and board, etc.)	Office of the Bursar	5 years from graduation date or date of last attendance
Scholarship Records	Office of Financial Aid	5 years from graduation date or date of last attendance
Tuition Billing and Payment Records	Office of the Bursar	5 years from graduation date or date of last attendance
Tuition Prepayment Agreements	Office of the Bursar	Length of contract + 7 years
GENERAL STUDENT RECORDS AND REPORTS		
Commencement Programs		Permanent
Course Catalogs	Office of the Registrar	Permanent

Course Schedules	Office of the Registrar	Permanent
Degree Statistics	Office of the Registrar	Permanent
Grade Statistics	Office of the Registrar	Permanent
Student Disciplinary/Conduct Records	Dean of Students Office	Permanent where penalty is probation, suspension or expulsion (dismissal); otherwise in accordance with the record retention policy of the Office of Student Conduct
Student Employment Records	Department of Hire	5 years from graduation date or date of last attendance
Student Health Care/Medical Records	University Health and Wellness Center	6 years
Tuition and Fee Charges	Office of the Bursar	6 years
UNIVERSITY RELATIONS		
Contracts	University Relations	Length of contract + 7 years
Institutional Publications	University Relations	H
Press Releases	University Relations	O