

# General Records Retention Schedule

## Using this Schedule

The Xavier University Records Retention Schedule defines commonly held records across most areas of the University and their suggested retention period. This schedule applies to common records managed by all campus units. Some guidelines are office-specific, while others apply to multiple offices and departments. In the event that you cannot locate a record within the retention schedule, please contact the Office of General Counsel. Please contact University Archives to discuss records that may require unique retention guidelines due to their exceptional nature.

This schedule indicates how long records must be kept in each office. If more than one retention period applies to a record, it should be maintained for the longest of the applicable periods. Following the retention period are disposition instructions, typically “Destroy” or “Transfer to University Archives.” Selected record series may be kept indefinitely within a Responsible Office (example: student transcripts kept by the Office of the Registrar).

Consistent with the Ohio Public Records Law as applicable, and this Policy, the Xavier University Police Department (XUPD) maintains its own Records Retention Schedule. For more information about XUPD records retention schedule, contact XUPD via phone at 513-745-2000 or visit their website <https://www.xavier.edu/police/>. To the extent that Safety Records are mentioned in this Schedule, it will not apply to XUPD.

## Retention Schedule Definitions:

- **Active:** While the record is Active or is still in use in the office. *Examples: 5 years; Active + 3 years*
- **Active + Inactive X years:** While the record is Active plus Inactive X years, which is a specific number of years. *Example: Active + 4 years*
- **Administrative Value:** The usefulness of a record in the conduct of the office’s business.
- **Local or Convenience Copy:** Extra identical copies of documents created only for convenience or reference or research by employees.
- **Multiple Campus Offices:** This phrase indicates that multiple campus offices may create and manage the same categories or types of records. It is the responsibility of each creating office to manage the disposition of these records.
- **Responsible Office:** The University Office that is responsible for ensuring that a particular Record is maintained for the required retention period and properly disposed of or transferred to University Archives.
- **Permanent:** These records must be retained indefinitely by the Responsible Office or University Archives. Permanent retention may be based on legal requirements, demonstrated administrative need, or justification of historical importance. The Responsible Office must maintain these records until their administrative use ends and is responsible for coordinating with University Archives for their transfer if it is applicable. University Archives is the official repository for information with historical or enduring value.
- **Record Category:** An overarching category of records based generally on function.
- **Retention Period:** The retention period is the length of time a record is required to be kept as set forth in the University’s Records Retention Schedule.
- **Record Series:** A group/set of related records, information or data that are normally used and filed or stored as a logical unit.

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## Disposition Instructions:

- Destroy: Retention rules apply to both paper and electronic records. In general, records can be destroyed when the following conditions are met:
  - The retention period, as listed on the schedule, has passed;
  - The disposition on the schedule is marked “Destroy”; and
  - There is not an ongoing legal hold or discovery request from the Office of the General Counsel.

It is recommended that the Responsible Office complete a Records Destruction Inventory form whenever records are shredded/purged/destroyed and maintain the inventories.

Records containing confidential or sensitive information must be disposed of in University-provided secure storage bins for vendor destruction. For more information, contact Central Procurement and Accounts Payable (<https://www.xavier.edu/procurement/xavier-employees/shred-it-program/shred-it-order-form>). All hardware to be securely wiped is managed by the Office of Information Technologies. Destruction of electronic files must follow methods approved by the Office of Information Technologies.

- Transferring Records to University Archives: Offices are responsible for transferring records in any format (electronic or paper) to University Archives, if they are designated in the dispositions section of the Schedule as “Transfer to University Archives.” For more information, email the [University Archivist](#).

## Email and Electronic Records Advice

Email is not its own category of University record. Instead, the email owner/recipient should determine the subject matter of the email and then review the General Records Retention Schedule for the corresponding record series/description category and retention period.

For example, email records related to payroll issues should be retained for the same retention period as other payroll records, emails related to student grade appeals should be retained for the same retention period as student grade appeal records, etc. Organizing your email in folders by subject and then chronologically is an easy way to ensure that email is retained for the appropriate period.

Most emails sent and received by users are not university records that must be retained because they are often “transient” records. Examples of transient records include routine meeting reminders, courtesy copies, university listserv notices, and drafts. These can be deleted once they are no longer needed. Emails that are not university records include personal correspondence, professional organization listserv emails, and spam.

Faculty and staff email accounts are maintained under the [User Accounts Policy](#). Supervisors who need access to email of departing employees in order to comply with the Records Retention Policy should contact the Office of Information Technologies.

Xavier University employees should not use personal email accounts (e.g., Gmail, Yahoo, etc.) to conduct university business. University business conducted via email should always be done through Xavier email accounts.

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### Record Category: Administrative and Management Records

This category of records documents the functions and overall management of Xavier University administration, including the management of its colleges, departments, programs, and centers. The records may relate to planning initiatives, program implementation and evaluation, or the fulfillment of the University mission and vision.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
Academic Advising Guidelines and Policies	Guidelines and policies for academic advising services used by students.	Enrollment Management and Student Success, Deans' offices	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Accreditation	Accreditation reports, working papers, and site visit records for accrediting bodies. May include documents and correspondence submitted to and received from accrediting agency.	Office of the Provost, Colleges, Departments, and Schools	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Annual or Occasional Reports	Annual and occasional reports concerning academic activities, including teaching and research, produced by the College or Department and/or constituent units. Reports may include narratives and statistics, such as enrollment numbers.	Deans' offices, Academic departments, and Schools	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Attendance for Training or Event/Participation Rosters	Employee attendance and participation records for training, events, or workshops, etc.	Multiple campus offices	1 year	Destroy
Audit reports (internal)	Findings of audits of programs, departments, or centers; may include related correspondence	Office of Risk Management	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Awards	Includes awards given to faculty, staff, and external community members for service, performance, fellowships, and endowed positions. Records include lists of nominations, publications, correspondence, and announcements of awards. For student awards, see "Student Records -- Awards &	Multiple campus offices	Retain in office until administrative value ends	For University-level awards, transfer lists of awardees and general information about award and selection criteria to University Archives. For remaining documentation and awards lower than the university-level, destroy unless necessary for continued administrative or historical purposes.

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	Scholarships" record series.			
Board of Trustees Records	Includes minutes and materials of Board and its committees	Office of the President	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Charters and by-laws	Charters and by-laws for any decision-making or representative body, including faculty committees, staff advisory committee, etc.	Multiple campus offices	Permanent	Transfer to University Archives
Committee, Cabinet, Working Group, and Task Force Files	May include minutes, agenda, supporting documents for review, membership lists, and notes. The Chair of the Committee, unless otherwise designated, is responsible for the Record Copy and Disposition/Archiving. Includes Academic and University committees.	Multiple campus offices	Retain in office until administrative value ends; Permanent	Transfer to University Archives; Destroy local copies
Compliance Files	General compliance files. May include workshop materials, required employee training attendance records, training certificates, compliance reports, data, etc.	Multiple campus offices, including Internal Audit	10 years	Transfer to University Archives any final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.
Compliance Findings	Records by investigator of problems found, solutions, and disciplinary actions	Multiple campus offices, including Internal Audit	10 years	Destroy
Correspondence: routine and transient	Correspondence, paper or electronic (including email), routine or transient in nature, that is of limited, short-term value, e.g. appointment setting, inquiries about holdings or programs, etc.	Multiple campus offices	Retain in office until administrative value ends	Destroy
Correspondence and Memoranda	Correspondence and memos, paper and electronic, related to the operation, policies, procedures, major activities and development of the university/college/department.	Multiple campus offices	Retain in office until administrative value ends	Transfer to University Archives documentation of historically significant decisions/events. Destroy remainder unless necessary for continued administrative or historical purposes.
Course Preparation Materials	Includes special topics course proposals, documentation on courses, syllabi, course descriptions, etc. Instructional materials typically belong to the faculty member.	Faculty	Active + 3 years	Instructional materials typically belong to the faculty member. If the department holds additional records, contact University Archives for further review.
Curriculum Records	Includes program curriculum and course	Academic departments	Until administrative value	Transfer to University Archives

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	<p>materials such as syllabi created at the department or program level</p> <p>See also Committee Records for BUGS, BOGS, and curriculum committees.</p>		ends; Permanent	
Emeriti Files	Correspondence with emeriti faculty, recommendations and policy re: emeriti faculty by the University.	Human Resources	3 years	Destroy
Events/Special Project Files	Community and campus events, special projects, conferences, workshops, lectures, and exhibits. Includes meeting minutes, planning records, agenda, programs and miscellaneous information.	Multiple campus offices	<p>Retain in office until administrative value ends; Permanent</p> <p>See Fiscal Records category for retention period of financial records.</p>	Transfer to University Archives any final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.
External Organizations/ Professional Groups	Correspondence or reports from civic, academic, or professional organizations that are external to Xavier. Can include information of a general nature, reports, minutes/agenda, newsletters or professional development materials.	Multiple campus offices	1 year	Transfer to University Archives any final or major reports for which XU has contributed significant information, destroy supporting documentation unless necessary for continued administrative or historical purposes.
Faculty Workload Reports	Faculty Workload Reports, recording course load, teaching/admin hours/week, research activities, etc.	Deans' offices or departments	5 years	Destroy
Grants and Sponsored Research Files – Unfunded Grants	Files related to unfunded grant proposals.	Office of Grant Services	3 years	Destroy
Grants and Sponsored Research Files – Funded	Files related to the administration of successfully funded proposals/contracts generated for each new or continuing award (contracts and/or grants) from various outside sponsors/agencies (i.e. Federal, State, & Local Governments, Private Industry, etc.) Includes forms, Cost Sharing documentation, Notice of Award, & related document. See also Fiscal Records category for financial records.	Office of Grant Services	Active + 3 years unless specified longer by granting agency (2 CFR 200.334)	Destroy



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Handbooks	Includes Student, Faculty, and Staff handbooks	Provost; Dean of Students; Human Resources	Retain in office until administrative value ends; Permanent	Transfer to University Archives
IRB Files	IRB proposals, consent forms, and associated paperwork/documentation.	Institutional Review Board	3 years	Destroy
Listservs	Xavier listservs used for announcements, communications, and administrative purposes	Multiple campus offices	3 years	Transfer anything documenting historically significant decisions/events to University Archives. Destroy remainder.
Mailing lists/Contact Database		Multiple campus offices	Active + 3 years	Destroy
Meeting records (staff/departments)	May include agendas, minutes, and appendices/attachments, correspondence, etc., created for routine staff meetings. These do not include meetings with individual staff members.	Multiple campus offices	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Mission/Vision Statements	Mission and/or vision statements for University/Division/College/Department	Multiple campus offices	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Monthly Reports	Routine reports documenting activities of staff	Multiple campus offices	Retain in office 3 years	Destroy
Organizational Charts	Charts depicting reporting lines in colleges/departments/offices	Multiple campus offices	Retain in office until superseded or obsolete	Transfer to University Archives
Plans, Reports and Forecasting	Records related to planning/forecasting for internal purposes. Includes strategic plans, enrollment reports, program reviews, long range planning, minutes/correspondence, surveys, assessment, data, etc.	Multiple campus offices	Active + 1 year; Retain drafts only if major changes occur from one draft to another.	Transfer final copies to University Archives
Policies, Procedures, and Rules	Policies manuals, procedures, rules, etc.	Provost, Human Resources, Dean of Students, Multiple campus offices	Active + 10 years	Transfer to University Archives
Program Development Files	Documentation and correspondence relating to programs offered by the college, including information on curricula and equipment, recommendations and external evaluations, and information on similar programs in other	Deans' offices	Active + 6 years	Transfer to University Archives any documentation related to final program or curriculum changes. Destroy supporting documentation unless necessary for continued administrative or

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	institutions.			historical purposes.
Program Participant Files (non-academic, adult programs)	Files that support program participation. May include registration forms, medication authorization forms, and permission forms	Multiple campus offices	3 years	Destroy
Program Participant Files (non-academic, minors)	Files that support program participation. May include registration forms, medication authorization forms, and permission forms.	Multiple campus offices	When participant reaches age 21 + 3 years	Destroy
Programming and Planning Records	Records related to program development, planning, promotion, assessment and evaluation, recommendations, review and administration. May include white papers, reports, meeting minutes/agendas, high-level correspondence, and other records.	Multiple campus offices	3 years	Transfer to University Archives any final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.
Records of Records Disposal	Records disposal inventory forms	Multiple campus offices	Permanent	Retain in Responsible Office
Reorganization Files	Records relating to significant University, college, or division reorganization.	Multiple campus offices	Active+ 10 years	Transfer to University Archives
Reports – Annual or Major	Annual or occasional reports produced by the University, college, division, department, or unit that cover significant achievements, goals, etc.	Multiple campus offices	3 years	Transfer to University Archives
Safety Records	Includes safety plans, employee health and safety documentation. See also “Policies, Procedures, and Rules” record series.	Multiple campus offices	Active + 6 years	Destroy
Scheduling	Scheduling of personnel, classes, events, and activities (not specific to individual students)	Multiple campus offices	1 year	Destroy
Scholarships and Grants (for students)	This group covers the administration of scholarships and grants, for files related to individual students receiving scholarships/grants, see "Student Records - Financial Aid Files - Scholarships and Grants"	Multiple campus offices	3 years	Destroy
Self-assessment /Internal studies	Records demonstrating compliance with internal or external policies and procedures	Multiple campus offices	4 years	Destroy

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Self-studies	Studies of programs completed by departments/offices.	Academic departments	Until administrative use ends; Permanent	Transfer to University Archives
Subject Files	Records providing background for office programs, mission, or function and servicing as resources for carrying out those activities	Multiple campus offices	Retain until administrative value ends	Contact University Archives for review and appraisal
Surveys	Responses to administered surveys and any final reports, created for distribution, generated from survey results. Includes internal surveys and external surveys for assessment	Institutional Research; Multiple campus offices	10 years for datasets; 3 years for supporting materials	Transfer to University Archives any final reports of surveys conducted at the college or university level, destroy all responses unless necessary for continued administrative or historical purposes.
Training Materials	Includes any material developed or used by the department to conduct training or distributed to trainees	Multiple campus offices	3 years	Destroy
Violations/Fines	Parking fines	Auxiliary Services	4 years	Destroy

## Record Category: Advancement and Development Records

These records document giving, fundraising activities, and program for alumni and others.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
Alumni Database Records	Electronic record keeping system used to track alumni and other donors' giving and to track potential donors; includes alumni and donor demographic data, contact information, biographical data, giving histories.	Office of Alumni Relations	Update as necessary and destroy obsolete data when no longer useful; Permanent	Destroy, unless necessary for continued administrative or historical purposes. Transfer to University Archives directories, biographical information
Alumni Programs and Special Events	Information concerning programs such as Alumni Weekend, events, workshops, kickoffs, fundraising events, etc. Records may include promotional material, brochures, guest lists, photos, invitations, presentations, and other records.	Office of Alumni Relations	See recommendations for disposal in the Administrative and Management Records category. For financial records, see Fiscal Records.	Transfer to University Archives
Annual Donor Reports	Annual Donor Reports	University Relations	Retain in office until administrative value ends; Permanent	Transfer to University Archives





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Annual Giving Reports	Annual Giving Reports	University Relations	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Capital campaign materials	Case statements, brochures, videos, summaries of activities/ progress/ accomplishments, etc.	University Relations	Active+ 5 years; Permanent	Transfer to University Archives
Donor and Gift Files	Correspondence, contact reports, and confidential research information. Information about major gifts or endowments by donor, including information on the gift. Financial records related to gifts are covered under the Fiscal Records category "Gifts and Endowments" record series.	University Relations	Active + 3 years; Permanent	Transfer to University Archives records of enduring historical value (e.g. Biographical files). Destroy all others

## Record Category: Facilities

This category includes records that document the management of Xavier University’s physical facilities.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
Building and Grounds- Routine Maintenance and Inspection	Vehicles, Building Hours, Maps, Alarm Codes & Keys, Door Locks, Chimes, Building Counters, Assets, Housekeeping, Maintenance, Space Usage, Pest Control Invoices, Catering, Construction, Building Values, Utilities, Landscaping, Food Court Vendors, work orders, maintenance and inspections.	Physical Plant	Active + 6 years	Destroy
Building Drawings, Design Plans, and Construction Project Records	Hard copies and digital copies of drawings for constructed buildings; Includes associated engineering studies and reports, change orders, certificates of occupancy, etc.	Physical Plant	Permanent	Maintain in Office of Physical Plant
Building, Design and Construction Records – Preliminary	Copies of preliminary or draft drawings that are altered or modified in a later design, drawing, draft, etc.	Physical Plant	Active +3 years	Destroy

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Equipment Maintenance, Service And Inventory Records	Equipment service and inventory records showing maintenance and repair histories and final disposition (e.g. lost, stolen, transferred). Equipment general operating information, specifications, correspondence, worksheets, warranty information, manuals	Physical Plant	Active + 6 years	Destroy
Key Records	Key database with faculty, staff, student key records. Includes correspondence from faculty and staff re: key assignments and authorizations, key deposit receipts. May also include badge requests, access requests for staff, faculty, affiliates.	Physical plant	Active +3 years	Destroy
Space utilization	May include plans, copies of requests, copies of construction/renovation drawings	Physical Plant	Permanent	Maintain in Office of Physical Plant

## Record Category: Fiscal Records

This category contains recommendations for Xavier University financial records.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
Accounts Payable/ Receivable	Invoices, bills, and purchase orders for various purchase and any other miscellaneous accounts to be paid or monies received.	Central Procurement and Accounts Payable	Active + seven years	Destroy
Annual Financial Reports	Annual financial/budget reports at the university, college, department/unit/area level.	Financial Planning & Budgets	Until administrative use ends; Permanent	Transfer to University Archives
Assets and Capital Property	Purchase, sale of equipment, vehicles and assets, depreciation, maintenance, correspondence, audits of assets/property.	Division of Financial Administration	Permanent	Retain records in the appropriate Financial Administration office permanently.
Audit (External) Records	Findings of audits of financial systems, including reports of independent auditor (external) and related records; IRS, Federal & Other sponsors; preparation materials	Division of Financial Administration	Permanent	Retain financial audit records in appropriate Financial Administration Office permanently



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Audit (Internal) Records	Work papers, audit and compliance documents, reports	Internal Audit	10 years	Destroy
Budget/Financial Files	Budget reports and planning files. Includes supporting documentation and working papers.	Multiple campus offices	Active + 1 year	Destroy
Debt Records	Records related to issued and non-issued debts. Includes Official Statements, Payment Schedules, Debt Service Schedules, BOT approved Board Resolutions, OBR debt approvals, Accounting entries, Bank statements and drawdown letters, and Leases	Treasury	Permanent	Retain financial audit records in appropriate Financial Administration Office permanently.
Delinquent Obligations	Delinquent obligation notices and other records associated with collecting delinquent charges and fees.	Central Procurement and Accounts Payable	4 years	Destroy
Deposits and banking	Deposits and banking records	Central Procurement and Accounts Payable	4 years	Destroy
Equipment /Inventory files	Inventory of all equipment serviced and used by departments; inventories of assets; warranties; operational manuals	Office of Technologies, Physical Plant	Active + 6 years; Keep operational manuals for life of building	Destroy
Events files	Financial records, including fee negotiation and travel arrangements	Multiple campus offices	4 years	Destroy
Gifts and Endowments	Financial records relating to planned gifts, gift funds, and endowments	Treasury; University Relations, Accounting	Permanent	Retain in Division of Financial Administration
Grants - Financial	Financial records related to the administration and distribution of grant monies	Office of Grant Services	Active + 3 years, unless specified longer by the regulatory agency	Destroy
Investment Records	Reports and records concerning the university's current investments	Treasury	Active + 6 years	Destroy
Ledgers	Departmental budget ledgers and/or journals detailing departmental account activities. Annual/final records only.	Controller and Payroll	10years	Destroy
Packing and Shipping Records	Packing slips and invoices for shipments and equipment and materials received	Central Procurement and Accounts Payable	3 years	Destroy
Payment Records and Receipts	Receipts given for supplies purchased and services rendered.	Central Procurement and Accounts Payable	4 years	Destroy local copies once in purchasing software system; then destroy from system at



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				end of retention period.
Payroll Records	Payroll	Controller	Active + 7 years	Destroy
P-Card Records		Central Procurement and Accounts Payable	Active + 5 years	Destroy
Petty Cash Records	Records for petty cash transactions	Multiple campus offices	4 years	Destroy
Purchase Order Records	Records related to purchases or purchasing power by the department	Central Procurement and Accounts Payable	Active + 5 years	Destroy
Purchasing Records	Records related to requests for bids, reviews, request for proposals, price estimates for potential purchases or services, etc.	Central Procurement and Accounts Payable	3 years	Destroy
Refunds Files	Forms indicating necessity of refund	Central Procurement and Accounts Payable	4 years	Destroy
Reimbursement Requests	Requests and supporting documentation for reimbursement requests.	Central Procurement and Accounts Payable	4 years	Destroy
Reports Files	Periodic reports of summary budget and financial data compiled for ongoing administrative and historical purposes.	Financial Planning and Budgets	4 years	Destroy
Sales and Receipts Reports	Reports and receipts for sales, services, fees and fines (including cash). May include Daily totals.	Central Procurement and Accounts Payable	4 years	Destroy
Internally Designated and Restricted Accounts Files	Records of special and restricted university established accounts.	Controller	Permanent	Retain records in appropriate Financial Administration Office permanently.
Statements and Balance Sheets	Includes general ledgers, journal entries, and month end totals	Controller	10 year minimum	Destroy
Student Billing Records	Billing to students for tuition, services, room and board, and other expenses	Bursar	4 years	Destroy
Student Insurance Records	Files of Student Health Insurance Registration receipts, records of declined insurance coverage, claims and investigations, and when coverage was purchased.	Health Services	4 years	Destroy
Tax Returns	Federal, state, and local tax documents,	Controller's Office	Permanent	Retain records in appropriate Financial

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	including registrations			Administration Office permanently.
Ticket Sale Information	Reports, orders	Multiple campus offices	4 years	Destroy
Transfers	Records associating with transferring monies between accounts/funds	Multiple offices	4 years	Destroy
Travel Records	May include travel expense reports and payment requests	Multiple campus offices	4 years	Destroy

## Record Category: Human Resources/Personnel

This category describes the disposition of personnel and other Human Resources records.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
Abolishment/ Layoff/Recall	Positions eliminated due to reorganization or lack of funds. Record copy held by HR, but may also be held locally.	Human Resources	1 year	Destroy
Certifications/ Licensing	Certifications and licensing of faculty/staff, as required by their position duties.	Human Resources, Multiple campus offices	Active + 3 years	Destroy
Effort Reporting/Labor Verification	Files related to faculty effort workloads, or records related to labor verification related to a sponsored project.	Grant Services	3 years	Destroy
Faculty Criteria and Procedures - R&T and Merit	Policies and documentation outlining R&T and merit criteria and procedures for each College/Department.	Colleges and Departments Human Resources	Retain in office until administrative value ends; Permanent	Transfer to University Archives
Hazardous Exposure	Records documenting exposure or testing related to hazardous substances	Multiple campus offices, including Risk Management	Permanent	Maintain permanently in Risk Management
Health/Safety/ Accidents/Injuries	Records related to on-the-job accidents used for worker's compensation claim	Human Resources	7 years	Destroy
1-9 Forms		Human Resources	Three years after date of hire or one year after last date of employment, whichever is later	Destroy
Leaves (Academic)	Files of materials relating to the taking of academic leaves, including salary information, approvals, supporting documentation, and related correspondence.	Human Resources	Active + 7 years	Destroy

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Leaves (Medical/Personal)	Files of materials relating to the taking of medical or personal leaves, including salary information, approvals, supporting documentation, employee provided medical records, and related correspondence.	Human Resources	Active + 7 years	Destroy
Merit Files	Merit salary increases for faculty and staff, including submissions, recommendations, and allocations. Record copy of final decisions should be transmitted to HR.	Human Resources College	Active + 7 years	Destroy
Outside Activity Reports	Documentation regarding collateral employment	Multiple campus offices	7 years	Destroy
Payroll Deduction Authorizations	All forms used to authorize deductions from charitable organizations, banks/credit unions, unions dues, memberships, etc.	Payroll	Active + 7 years	Destroy
Payroll Files	Includes timesheets, time off from work forms, overtime and flex reports, vacation and sick leave reports, attendance records, Payroll Verification Reports, Requests for Hand-drawn Payroll Check, Payroll Check pickup sheets	Payroll, Multiple campus offices	Active + 7 years	Destroy
Personnel Disciplinary Records	Employee disciplinary documentation, including performance improvement plans. Record copy held by HR, but may also be held locally.	Human Resources	7 years	Destroy
Personnel Health Assessment Records	Records documenting employee health assessments necessary for job duties, such as respirator test	Human Resources	7 years	Destroy
Personnel Records	Employee records for faculty and staff, including R&T and evaluations, personnel assignments, changes in employment classification level.	Provost, Dean Offices, Human Resources	Active + 7 years	Destroy
Rank and Tenure Files	Includes recommendations and supporting documents for all faculty and adjuncts. May include Dean's letter, Department Head recommendations, Departmental Committee Report, vitae, and letter from Provost.	Provost, Deans' offices	Active + 7 years	Destroy

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Search and hiring Records	Includes instructions to committee, advertising materials, applications, CVs/resumes, hiring paperwork, acceptance letters, performance letters, application evaluation sheets, interview schedules, interview evaluation sheets, letters to applicants, etc. Records for candidate that was selected should go in the employee's personnel file.	Human Resources, Provost, Deans' offices, Multiple Campus Offices	3 years	At conclusion of search, the Search Committee chair or hiring coordinator should send all final records to HR, and should retain remaining records for 3 years.
Student Worker Timekeeping Forms and Reports	Reports that students file for detailing activities performed, as well as timesheets and schedules.	Human Resources, Student Employment	7 years	Destroy
Student Worker Personnel Files	Student Employment applications, evaluation forms, student assistant budgets, correspondence, payroll and termination. .	Human Resources, Student Employment	Active + 7 years	Destroy
Training and Development Records	Records related to required staff training and development including conference and seminar attendance, requests, registrations	Multiple campus offices	Active + 7 years	Destroy
Volunteer Records	Files include background checks, recommendations	Departments, Multiple Campus Offices	Active + 6 years	Destroy

## Record Category: Legal Records

This category includes legal and compliance records.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
ADA Records	Americans With Disabilities Active compliance records	Office of Institutional Diversity and Inclusion	6 years	Destroy
Claims/Litigation	Records related to threatened or actual litigation or government investigation.	Office of General Counsel	Active + 6 years	Destroy
Complaint Files	Records from/concerning complainant concerning potential or actual discrimination	Office of General Counsel	Active + 6 years	Destroy



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	including correspondence, copies of docs from Legal Advisory Services, EEOC Reports, Intake forms, departmental complaint forms, and summaries of actions taken.			
Compliance Records	Records documenting the legal compliance in accordance with University, State, and Federal regulations, unless noted elsewhere.	Risk Management, Office of General Counsel, Multiple campus offices	6 years	Destroy
Contract performance	Records related to compliance or performance of contracts; includes determination of costs, performance of services, payments	Office of General Counsel, Purchasing, Multiple campus offices	5 years	Destroy
Contracts and Agreements	Includes personal services contacts, contracts with vendors for special events, clinical affiliation sites and departments, obligations under contracts for services, purchases and sales	Office of General Counsel, Purchasing, Multiple campus offices	Active + 5 years	Destroy
Employee Grievances	Correspondence, working papers, hearing records, final disposition papers for grievances and/or hearings both pending and completed, filed by employees.	Human Resources, Office of Institutional Diversity and Inclusion, Office of General Counsel	Active + 6 years	Destroy
Insurance Policies		Risk Management	Active + 10 years after expiration of policy	Destroy
Leases	Leases	Division of Financial Administration	Active + 5 years after termination of lease	Destroy
License Agreements/Permits	Records including licenses or permits required to conduct activities	Office of General Counsel, Purchasing, Student Affairs, XUPD	Active + 3 years	Destroy
Participant Waivers (Adults)	Waivers signed by program or event participants who are adults.	Risk Management, HUB, Multiple campus offices	3 years	Destroy
Participant Waivers (Minors)	Waivers signed by program or event participants, or parents/guardians for minor participants.	Risk Management, Multiple campus offices	When participant reached age 18 + 3 years	Destroy
Property and Real Estate Files	Property and real estate files (University property, including deeds, transactions, taxes, engineering studies and reports, and	Physical Plant, Office of General Counsel, Office of Financial Administration	Retain in office until administrative value ends; Permanent	Transfer to University Archives



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	legal descriptions.)			
Research Misconduct Investigations	includes reports, correspondence and related material	Institutional Review Board, Office of General Counsel	Active + 7 years unless specified longer by granting agency	Destroy
Title IX Records	All records related to Title IX matters, such as incident reports, supportive measures, formal complaints, grievance procedures, investigations, informal resolutions, and trainings.	Title IX and Interpersonal Violence Response Office	Active + 7 years	Destroy
Title IX hearing and post hearing records	All records related to Title IX hearing records, disciplinary sanctions, remedies, appeals, and trainings.	Dean of Students, Title IX and Interpersonal Violence Response Office	Permanent for those students suspended or expelled Active + 7 years for all others	Destroy
Trademark and copyright agreements		Office of General Counsel	Permanent	Retain in Office of General Counsel

## Record Category: Publication/News/Communications Records

This category includes public affairs, news and communication records that document the activities and events of Xavier University and its departments, programs, and centers.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
Advertising and Marketing	Advertising, marketing and other promotional materials	Marketing and Communications	5 years or permanently as needed	Transfer to University Archives
Audio and Video recordings	Audio or video recordings of University-sponsored events and performances. Does not include instructional materials.	Marketing and Communications	5 years or permanently as needed	Contact University Archives concerning documentation of significant decisions/events. Destroy remainder unless necessary for continued administrative or historical purposes.
Biographical Files	Vitae, photographs, profiles, or articles about the individual created or used in the course of publication research	Marketing and Communications	Retain until administrative value ends	Contact University Archives for review and appraisal

# General Records Retention Schedule

Interviews	Interview with or about members of the Xavier community	Marketing and Communications	Retain until administrative value ends	Contact University Archives for review and appraisal
Photographs		Marketing and Communications	3 years or permanently as needed	Transfer to University Archives. Photographs should identify the person (s) or event.
Press Releases	News releases about Xavier, its people, programs or initiatives.	Marketing and Communications	Retain until administrative value ends; Permanent	Transfer to University Archives
Publications	May also include newsletters, programs, flyers, brochures, handbooks, catalogs, manuals, and campus calendars. Includes both electronic and paper publications.	Marketing and Communications	Retain until administrative value ends; Permanent	Transfer to University Archives
Social Media	Social media channels associated with the University, and its Colleges, Departments, Programs, Divisions, etc.	Marketing and Communications	3 years or permanently as needed	Transfer to University Archives
Speeches	Speeches or statements delivered by members of the Xavier University community	Multiple campus offices	Retain until administrative value ends	Contact University Archives for review and appraisal
Website and Webpages	Official university websites or webpages that contain university records.	Marketing and Communications	5 years or permanently as needed	Transfer to University Archives

## Record Category: Student Affairs Records

This category includes records concerning the functional areas related to student affairs as well as student co-curricular activities. For records regarding the admission process and academic achievement, see the Student Records category.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
Clubs and Organizations	Listings of student clubs and organization for which the office provides oversight and guidance; Guidelines, policies, and procedures used to advise these clubs. Consult University Archives regarding records created by student organizations.	Student Affairs	Update as necessary; Permanent	Transfer to University Archives
Counseling records	Counseling records for students who visit the Office of Counseling Services or Psychological Services Center	Counseling Services, Psychological Services Center	Active + 7 years	Destroy

# General Records Retention Schedule

Student Behavioral Records, including Disciplinary Records and Student Title IX	Student case files for academic and non-academic behavioral issues, not including Title IX. Documentation may cover cases related to suspension, dismissal, or probation from an academic program.	Dean of Students Office, and Programs (e.g. X-ACT) and Dean's offices	Permanent for those students suspended or expelled; 7 years after incident date for all others. For those who stop attending Xavier during a pending or active investigation, records will be kept indefinitely until the student returns, at which time the regular retention schedule will be followed.	Retain permanently in office for those permanently dismissed, Destroy for all others
Resident Advisor Reports	General residence hall reports prepared by resident counselors and advisors regarding programs, major incidents, follow-ups, staff development efforts, and concerns.	Student Affairs	Active + 7 years	Destroy
Student Affairs Advising Appointment Records	Record of appointments for student services	Multiple campus offices	Active + 1 year	Destroy
Student Health Insurance	General records related to the administration of student health insurance. May include signed waiver cards indicating if the student has accepted or waived University Student health Insurance.	Dean of Students Office	Active + 7 years	Destroy
Student Health Records	Health records provided directly from student, which includes immunization records. All other health records should be maintained by TriHealth or the student's individual provider.	Dean of Students Office	Active + 7 years	Destroy
Student Educational and Training Records	Record of attendance at or completion of required educational student training	Dean of Students Office	Active +7 years	Destroy

## Record Category: Student Athlete Records

This category includes records associated with student participation in NCAA sponsored sports.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
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# General Records Retention Schedule

Student Athlete Health Records	Records created or maintained at the direction of sports medicine.	Sports Medicine, Athletics	Active +7 years	Destroy
NCAA or conference documentation	Records related student athletes created at the direction of or in relation to participation in NCAA sponsored sports	Athletics	Active +7	Destroy

## Record Category: Student Records

This category represents many facets of each student’s career at Xavier. The category includes records relating to the admission process, academic achievement, and financial aid among other records. Some records relate to specific students and other are more general.

Records Series	Record Description	Responsible Office	Retention Period	Disposition
<b>Admissions</b>				
Applicants – Matriculating	Files of application materials (incl. transcripts, scores, personal statements, and correspondence) from students applying to the University who are subsequently admitted and enroll at the University.	Offices of Undergraduate and Graduate Admissions	Active + 3 years from graduation or last date of attendance	Destroy
Applicants – Non-Matriculating	Files of application materials (incl. transcripts, scores, personal statements, and correspondence) from students applying to the University but who never actually enter, whether due to denial of admission or those who were accepted but choose not to enter the program.	Offices of Undergraduate and Graduate Admissions	Active + 3 years from notification of rejection	Destroy
Applicants - Transfer Files – Non-Accepted Applicants	Denied individual applications to transfer to a college or program, with any relevant correspondence, admissions information, and decisions.	Offices of Undergraduate and Graduate Admissions	Active + 1 year	Destroy
Applicants - Transfer Files - Accepted	Accepted individual applications to transfer to a college or program, with any relevant correspondence, admissions	Offices of Undergraduate and Graduate Admissions	Active + 1 year	Destroy

# General Records Retention Schedule

Applicants	information, and decisions.			
Applications-Student Recruitment	High school recruiting, recommendation letters, school visits, testing information. See also "Applicants" record groups	Office of Undergraduate Admissions	Active – until admitted	Destroy
International Student and Scholar Records	Immigration documents, correspondence, and supporting materials related to regulatory compliance for students in F-1 or J-1 status, e.g., I-20/DS-2019 documents, OPT/CPT applications, visa and passport copies, recertification and re-designation reports from Dept of Homeland Security/Dept of State.	Center for International Education	Active + 3 years after the student or exchange visitor's last day of attendance, completion of program, or date of denial of reinstatement (if applicable).	Destroy
Military records		Office of Undergraduate Admission; Graduate Admission	3 year from graduation or last date of attendance	Destroy
Recruitment materials	May include brochures, catalogues, etc. dealing with admissions, programs, and scholarships	Office of Undergraduate Admission; Graduate Admission	Permanent	Transfer one copy to University Archives
<b>Academic Records (Student)</b>				
Academic Advising Records	Records related to academic advising provided to individual students.	Multiple campus offices	Active + 1 year	Destroy
Academic Accommodation Records	Records related to a student's request for academic accommodations under the Americans with Disabilities Act.	Office of Disability Services	Active + 7	Destroy
Non-credit academic records	Records related to non-credit status students, including registration forms and associated correspondence.	Office of the Registrar	Active + 1 year	Destroy
Academic Petitions	Petitions for a variety of requests, such as reinstatement, extensions, course waivers, etc.	Dean's offices	Active + 1 year	Destroy
Add-Drops	Additions or deletions of courses by students.	Office of the Registrar, Multiple campus offices	Until administrative value ends	Destroy
Athletic Eligibility Forms	Athletic Eligibility Forms	Office of the Registrar & Student Athlete Academic	Ten years from graduation or last date of attendance	Office of the Registrar & Student Athlete Academic Support



# General Records Retention Schedule

		Support		
Attendance Records	Attendance records taken for class attendance	Faculty	Administrative value	Destroy
Awards & Scholarships	Refers to records concerning awards given to students for educational, research, or other accomplishments. Records may include criteria and eligibility information, decision committee materials, lists of nominations, publications, correspondence, and announcements of awards. For non-student awards, see "Administration - Awards" record series.	Enrollment Management and Student Success	Until administrative value ends; Permanent	Transfer to University Archives lists of awardees and general information about award and selection criteria, destroy supporting documentation unless necessary for continued administrative or historical purposes.
Class Schedules (students)	Student schedules for each term	Office of the Registrar	Until administrative value ends	Destroy
Commencement Records	Records related to the commencement ceremony, including the program, planning details, photographs, videos, speeches, etc.	Office of the Provost	Until administrative value ends; Permanent	
Course Listings and Schedules	Listings/schedules of academic credit courses.	Office of the Registrar	Until administrative value ends; Permanent	Transfer to University Archives
Course Descriptions	Course descriptions	Office of the Registrar	Permanent. Retained in University Catalog	Transfer to University Archives; local copies can be destroyed.
Degree Requirement Information	Information and records related to the requirements for a degree program.	Office of the Registrar	Until administrative value ends; Permanent	Transfer to University Archives
Departmental Student Academic Records	May include applications, grades, academic progress, correspondence with or about student, supplementary forms, registration, academic activities, etc., for students maintained by academic departments.	Multiple campus offices	Permanent for records that document student experience potentially needed for future verification (e.g. licensing, credentials, etc.) that are not held by the Registrar's office. Active + 1 year for all other records.	Retain permanently in office for records needed for future verification that are not already in the Student Information System. Destroy all others.
Electronic Theses and Dissertations	Electronic Theses and Dissertations uploaded into OhioLink. Maintenance of both the ETD and signature pages itself.	Academic departments; University Library	Permanent	ETD uploaded to OhioLink in cooperation with graduate program policies, additional records maintained in office as needed

# General Records Retention Schedule

FERPA Disclosure Records	Necessary for compliance with recordkeeping requirements in FERPA. Includes requests for and disclosures of personally identifiable information, written consent for records disclosure, and waiver for rights of access	Multiple campus offices	Permanent	Maintain in Responsible Office
Field Experience and Internships	Records related to student participation in field experience placements and internships. May include reports, learning objectives, documentation of hours worked, evaluations, and forms.	Deans' offices, Academic departments	Permanent for records that verify student experience for certification/licensure; Active + 3 years for all other records.	Retain indefinitely records needed to verify certification/licensure; Destroy all others.
Grade Changes	Forms recording appeals and/or changes of grade. Record Copy held by University Registrar	Office of the Registrar	Permanent	Destroy local copies after ensuring permanent records are captured in Student Information System
Grades	Copies of grades from courses offered by the department taken by students. Record Copy of grades/transcripts maintained by University Registrar.	Office of the Registrar, Multiple campus offices	Permanent	Destroy local copies after ensuring permanent records are appropriately captured by the Office of the Registrar.
Graduation Lists	Individual student files related to application, verification, and disbursement of scholarships and grants.	Office of the Registrar	Permanent	Destroy local copies after ensuring permanent records are captured in Student Information System by the Office of the Registrar
Requests for Non-disclosure of Directory Information	Student requests to opt-out of directory information disclosure	Office of the Registrar	Permanent or until terminated by student	Maintain in Office of the Registrar
Student Academic Work	Student work kept by instructors including exams, papers, and portfolios. Student work is not considered an official university record, and the retention period advised is an unofficial recommendation.	Faculty, Academic departments	Term of work + 2 years	Destroy
Transcript Request Forms	Transcript requests received from current and former students, and campus officers.	Office of the Registrar	Active + 1 year	Destroy
Transcripts	Transcripts of student's attendance, graduation dates, degrees, and permanent grades at Xavier University	Office of the Registrar	Permanent	Maintained in Student Information System



# General Records Retention Schedule

Federal Disclosure Records				
Annual Safety and Security Report and crime statistics	Annual Safety and Security Report (section 668.46 of 34 CFR)	Office of Risk Management	Per the requirements of the DOE Clery handbook, keep for 3 years	Maintain in Office of Risk Management
College costs, accreditation, textbook information, transfer credit policy		Multiple campus offices	3 years from date of required disclosure	Destroy
Graduation/completion, Transfer-out Data		Multiple campus offices	3 years from date of required disclosure	Destroy
Student Consumer Information/institutional Information	Cost of attendance, withdrawal procedures, accreditation, etc.)	Multiple campus offices	3 years from date of required disclosure	Destroy
Financial Aid (Student)				
Financial Aid	General records related to the administration of financial aid and financial aid policies. See also Fiscal Records.	Office of Student Financial Services	Active + 10 years	Destroy
Financial Aid Files – Government Loans	Individual student files related to application, verification, deferrals, and disbursement of loans, from the US Department of Education.	Office of Student Financial Services	Active + 3 years	Destroy
Financial Aid Files - Private Loans	Individual student files related to application, verification, deferrals, and disbursement of loans.	Office of Student Financial Services	Active + 3 years	Destroy
Financial Aid Files - Scholarships and Grants awarded by Financial Aid	Individual student files related to application, verification, and disbursement of scholarships and grants	Multiple campus offices	Active +3 years	Destroy
Scholarships/Assistantship/Research Award/Student Award by Department	A record of applicants awarded grant, contract or other assistantships or fellowships. May include applications, recommendations, correspondence, etc.	College/School, Academic departments	Active +3 years	Destroy
Publications				
University Catalog		Office of the Registrar	Permanent	Maintain in the Office of the Registrar; Transfer



# General Records Retention Schedule

				copy to University Archives
<b>Statistical Data and Reports</b>				
Grade distribution and other grade statistics	Report of grades given, including summary grade point statistics	Multiple campus offices	Until administrative use ends; Permanent	Transfer to University Archives
Instructor and Course Evaluations	Student course evaluations about courses & faculty	Deans' offices	Until administrative use ends	Destroy
Race/Ethnicity Reporting	Report of student enrollment, graduation, and other metrics by race and ethnic origin	Office of Institutional Research	Until administrative use ends; Permanent	Transfer to University Archives
Statistics and Research Data	Statistics and research data on enrollment, graduation, and other institutional/college/department statistics. May include post-graduation employment statistics. Also includes raw research data materials, data analysis, and reports.	Office of Institutional Research, Enrollment Management and Student Success	Until administrative use ends; Permanent	Transfer to University Archives
<b>Other Student Records</b>				
Name, Gender, or Residency Change Requests	Correspondence and forms related to student requests for name, gender, or residency change requests	Office of the Registrar	Until administrative need is satisfied	Destroy