

10.7 Policy on Record Retention

Approval Authority: Cabinet
Responsible Officer: Vice President, General Counsel and Secretary; Chief Financial Officer, Vice President for Finance and Treasurer
Responsible Office: Office of General Counsel
Effective Date: June 24, 2011 (Revised November 27, 2018)

I. Purpose of this Policy

This Policy sets forth the standards and procedures for the systematic review, retention and disposal of records received or created in the course of University operations (as further defined below, “**Records**”).

It is the intention of this Policy to ensure that the University:

- (a) establishes the minimum amount of time a particular type of Record must be retained;
- (b) ensures that Records are not improperly or prematurely disposed of;
- (c) protects the privacy of faculty, staff and students to the extent required by law;
- (d) optimizes the use of space; and
- (e) properly disposes of outdated Records.

All University employees who create, use or have access to Records are responsible for ensuring that Records are generated, used, maintained, stored, retained and disposed of in accordance with this Policy. Modification or disposal of Records in a manner that is inconsistent with this Policy is prohibited.

II. Policy

A. Retention of Records

A “**Record**” is the tangible expression of information involving University activities and operations, regardless of format. An “**Active Record**” is a Record that serves a current purpose (including any ongoing audits and investigations) and should be retained for as long as it is in use, even if this period exceeds the applicable “**Retention Period**” (as defined below). Once a Record is no longer needed to conduct current business, it becomes an “**Inactive Record.**” Inactive Records must be retained until the expiration of their Retention Period. Extra paper or electronic copies of Records maintained only for convenience are considered “**Non-Records**” and may be disposed of pursuant to Section G this Policy when no longer useful.

Records must be retained and disposed of in accordance with this Policy, the Record Retention Schedule attached to this Policy and any Record management procedure adopted by a member of the President’s Cabinet (each a “**Responsible Officer**”) pertaining to a division, department or office reporting to such Responsible Officer (each a “**Repository**”). The Record Retention Schedule attached to this Policy contains various categories of records, along with their

Repositories and the minimum lengths of time each Repository is required to retain each particular type of Record (each a “**Retention Period**”). Retention Periods in the Record Retention Schedule attached to this Policy have been determined to be consistent with applicable legal, accreditation and other standards, including best practices. Instead of mandating disposal of records at certain times, in most cases the Record Retention Schedule states that Records are “subject to disposal” at the relevant point in time. Records may be disposed of after the relevant period has elapsed, when and if such disposal is practical and cost-effective.

Electronic Records, including emails, are subject to this Policy. “**Electronic Records**” include information created, retained or maintained in an electronic format including without limitation emails, voicemails, word processed documents, spreadsheets, databases, HTML documents, scanned or imaged documents, and any other type of file maintained online, on a mainframe or server, on a computer hard drive, or on any external storage medium (including, but not limited to, tapes, cassettes, floppy disks, optical disks, CD-ROMs and thumb-drives). An “**Electronic Repository**” is a Repository in which electronic Records are stored. Sometimes, an Electronic Repository is referred to as a “**System of Record**,” meaning that it is the authoritative data source for a particular set of information (for example, Workday). Responsible Officers are responsible for the Systems of Record within their divisions, departments and offices.

Electronic Repositories differ greatly in form and are subject to various technological and contractual limitations. For example, some Electronic Repositories may have limitations on when information can be deleted and deletion of information in other Electronic Repositories may come at a significant cost to the University. Responsible Officers and Records Managers should engage in periodic reviews and consultations with the Office of General Counsel to determine whether and when disposal of Electronic Records is warranted.

B. Confidential Records

Many Records are “**Confidential Records**” containing non-public confidential or personal information. Confidential Records may be protected by federal, state and local laws including the Family Educational Rights and Privacy Act (FERPA) and the Gramm-Leach-Bliley Act, and must be securely maintained, controlled and protected to prevent unauthorized access or disclosure. In addition, the University may have agreed with governmental, corporate or other parties to keep certain information confidential.

Confidential Records include, but are not limited to, student records, personnel records, health records, social security numbers, driver’s license numbers, credit card numbers, active financial account numbers, academic records, research plans and results, operational information, intellectual property of the University (including, but not limited to, know-how, trade secrets, methods, techniques, designs and specifications, and computer source code),¹ confidential information about University corporate or governmental sponsors, any records subject to a confidentiality agreement signed by the University, any record subject to a privilege such as the attorney-client or work product privileges, and any other information marked “confidential.”

¹ Additional information concerning the University’s intellectual property may be found in the University’s Patent and Copyright Policies.

In addition to this Policy and all statutory requirements, any Record that contains confidential information should be treated in accordance with other University policies regarding privacy and information security, including, but not limited to, the Policy on Student Privacy Rights and the Code of Ethics.

C. Substitution of Records

In most cases, a Record in paper form may be digitally scanned, microfilmed or microfiched and substituted for an original paper document. Certain Records, such as deeds and promissory notes, may not be substituted in this manner and, accordingly, the original paper documents must be retained. The applicable Retention Period for a Record does not change in the event that a properly-substituted image of a Record is created. A Record's mandatory minimum retention period is counted from the creation or receipt of the original Record, not the date on which the substitute Record was created.

D. Administration of the Policy

A Record Retention Schedule is attached and incorporated into this Policy. This Schedule establishes Retention Periods for different types of Records, and may be modified or updated from time-to-time by the Office of General Counsel. Any such modifications or updates will be communicated to the Stevens community and posted to the University Policy Library.

In accordance with this Policy, each Responsible Officer shall develop their own Record management procedure or procedures covering the particular Repositories for which they are responsible. Each procedure must be consistent with this Policy. Responsible Officers may choose to extend a Record's minimum Retention Period beyond that specified in the Record Retention Schedule, but may not reduce the Retention Period.

Each Responsible Officer must designate one or more "**Record Managers**" in the division, departments or offices that they oversee, who will administer this Policy and any applicable Record management procedure(s). Responsible Officers shall provide the names of their Record Managers and any particular Record management procedures to the Office of General Counsel.

Each Record Manager must:

- (a) Be familiar with this Policy;
- (b) Develop a Record management procedure;
- (c) Oversee compliance with this Policy and the division, department or office's Record management procedure;
- (d) Restrict access to Confidential Records;
- (e) Coordinate the disposal of Records in accordance with this Policy; and
- (f) Inform the Responsible Officer and the Office of General Counsel if a breach of this Policy occurs.

Questions regarding the application of this Policy to a particular Record, or questions concerning any Records not directly addressed in the Record Retention Schedule, should first be addressed

by the Record Manager within the relevant division, department or office, and then brought to the attention of the Responsible Officer and the Office of General Counsel if further clarification is necessary.

E. Preservation of Records Relevant to Legal Matters

Any University employee who receives information concerning a potential or pending litigation or investigation should immediately contact the Office of General Counsel.

Any Record or Non-Record that is relevant to a potential or pending litigation or investigation, or that pertains to a claim, audit, agency charge, investigation or enforcement action, must be retained at least until final resolution of the action, regardless of the expiration of its Retention Period.

In the event of a potential or pending litigation or investigation, the Office of General Counsel may issue a letter or other announcement (“**Legal Hold**”) that temporarily suspends this Policy as well as all Record management procedures in relevant divisions, departments and offices to prevent the accidental deletion of documents relevant to the matter and ensure that the University is able to appropriately defend itself and comply with laws and procedures on ediscovery. If an employee receives notice that a Legal Hold has been issued, or if an employee receives information concerning a potential or pending litigation or investigation, the employee must not modify or dispose of any Records, including Electronic Records, that may be relevant to the matter. Responsible Officers and Record Managers shall be responsible for ensuring that records under their purview are retained pursuant to a Legal Hold. Even inadvertent disposal of Records can lead to serious consequences for the employee and for the University.

F. Preservation of Permanent Records

Records that have permanent or enduring historical, legal, fiscal, research or administrative value to the University, are considered “**Permanent Records**” and must be retained indefinitely. Examples of Permanent Records include the University’s Charter and By-Laws, Presidential records and materials, deeds and other real estate documents, University statistics, student grades, theses, dissertations and historical photographs. Responsible Officers, Record Managers or other employees with questions concerning Permanent Records, including whether a certain Record qualifies as a Permanent Record or whether a certain Permanent Record should be stored and preserved by the Library, should contact the Director of the Library. The Director of the Library, or their designee, will determine, in consultation with the Office of General Counsel, whether a record qualifies as a Permanent Record.

G. Disposal of Records

In the absence of a Legal Hold, Inactive Records that have reached the end of their Retention Period should be disposed of in a timely fashion. Active Records that have reached the end of their Retention Period should be retained until they become Inactive Records. If an agreement or applicable law provides that a Record should be kept for a period that is longer than the

Retention Period, it should be kept for the period specified in the agreement or law and then disposed of.

Once an employee has determined that, consistent with this Policy and the division, department or office's Record management procedure, it is appropriate to dispose of a Record, it can be disposed of in one of the following ways:

- (a) Paper Records that are not Confidential Records shall be disposed of by means of regularly established practices for handling recyclable or waste paper in the relevant division, department or office;
- (b) Electronic Records that are not Confidential Records may be erased or otherwise deleted;
- (c) Confidential paper Records must be redacted, shredded or otherwise rendered unreadable prior to disposal; and
- (d) Confidential Electronic Records must be deleted, erased or otherwise rendered irretrievable, illegible and unrecognizable by any appropriate means.

Responsible Officers and Record Managers should contact the Division of Information Technology for guidance on how to appropriately dispose of Electronic Records.

H. Administration of this Policy

Any employee who has questions about this Policy should contact the Record Manager in the relevant division, department or office, the relevant Responsible Officer or the Office of General Counsel.

This Policy and the attached Record Retention Schedule are applicable as of the Effective Date(s) located at the top of this Policy and at the top of the Record Retention Schedule. It is possible that, in some limited cases, one or more record(s) covered by this Policy were disposed of prior to the Effective Date(s) of this Policy or the relevant Record Retention Schedule and before the applicable Retention Period elapsed.

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
OFFICE OF THE PRESIDENT (Vice President for Government and Community Relations / President's Chief of Staff)			
	President's Records (current president - including, but not limited to, correspondence, speeches, announcements, videos)	Office of the President	Permanent
	Documents Concerning Presidential Programmatic Initiatives (including, but not limited to, Strategic Plan, President's Leadership Council, Hoboken Leadership Roundtable)	Office of the President	Permanent
	Agendas and Minutes of Cabinet Meetings	Office of the President	Permanent
	President's Records (past presidents - including, but not limited to, correspondence, speeches, announcements and videos)	Library	Permanent
	Official Records of Presidential Events, e.g., Inaugurations, President's Distinguished Lecture Series (including, but not limited to, official transcripts and invitations)	Library	Permanent

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
GOVERNMENT AND COMMUNITY RELATIONS (Vice President for Government and Community Relations / President's Chief of Staff)			
	Documents Concerning Community Relations (including, but not limited to, documents and correspondence concerning relationships with state, federal and local government entities and officials)	Vice President for Government and Community Relations	10 years
	Documents Concerning Grant Applications Compiled by the Vice President for Government and Community Relations (including, but not limited to, grants from private foundations and public entities)	Vice President for Government and Community Relations	10 years following end of grant period or expiration of application

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
DIVERSITY AND INCLUSION (Executive Director of Diversity & Inclusion and Senior Research Associate)			
	Reports Relating to Academic Climate Studies	Executive Director of Diversity & Inclusion and Senior Research Associate	Permanent
	Materials Relating to Academic Climate Workshops	Executive Director of Diversity & Inclusion and Senior Research Associate	Permanent

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
OFFICE OF THE SECRETARY (Vice President, General Counsel and Secretary)			
	Charter	Office of the Secretary	Permanent
	Bylaws and all Amendments	Office of the Secretary	Permanent
	Records of the Board of Trustees (including, but not limited to, agendas, meeting materials, reports, resolutions, committee materials, historical and reference materials)	Office of the Secretary	Permanent
	Conflict of Interest Disclosures for the Board of Trustees	Office of the Secretary	Permanent
	Secretary Certificates	Office of the Secretary	Permanent
	Signature Authority Resolutions and Delegations of Authority	Office of the Secretary	Permanent
	Historical Board of Trustees Documents (inactive for 10 years - including, but not limited to, agendas, meeting materials, reports, resolutions, committee materials, historical and reference materials)	Library	Permanent

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
LEGAL (Vice President, General Counsel and Secretary)			
	Documents Concerning Trademarks	Office of the General Counsel	Permanent
	Documents Concerning Litigation and Pre-Litigation Matters	Office of the General Counsel	20 years from final disposition of matter (or longer if deemed necessary by Office of the General Counsel or outside counsel)
	Documents Concerning Subpoenas and Other Requests for Information	Office of the General Counsel	20 years from final disposition of matter (or longer if deemed necessary by Office of the General Counsel or outside counsel)
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Legal Matters (whether signed by hand or electronically)	Office of the General Counsel	10 years from expiration of contract period
	Copies of Agreements, Contracts, Memoranda of Understanding, Letters of Intent, or Similar Documents Drafted by the Office of the General Counsel	Office of the General Counsel	10 years from expiration of contract period (longer if the contract involves real property)
	Documents Concerning Audits and Other Government Inquiries	Office of the General Counsel	20 years from final disposition (or longer if deemed necessary by Office of the General Counsel or outside counsel)
	Documents Concerning Real Estate Transactions (and related matters)	Office of the General Counsel	Permanent

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
INFORMATION TECHNOLOGY (VP for Information Technology & Chief Information Officer)			
	Email	Division of Information Technology	All email is retained during a student, faculty member or staff member's time at Stevens. Email retention following a student, faculty member or staff member's departure from Stevens is handled pursuant to internal Division of Information Technology records management procedures.
	Documentation, Manuals and Related Documents Concerning Information Technology Systems	Division of Information Technology	5 years (or longer, if record remains relevant and useful and system is still in use)
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Information Technology Matters (whether signed by hand or electronically)	Division of Information Technology	10 years from expiration of contract period
	Documents Concerning Data Security (including, but not limited to, protocols and notices)	Division of Information Technology	5 years (or longer if record remains relevant and useful)
	Documents Concerning Data Breaches (including, but not limited to, reports and notices)	Division of Information Technology	5 years after all necessary follow-up actions have been completed

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
ACADEMIC (Provost and Vice President for Academic Affairs)			
	University Policies	Office of the Provost	Permanent
	Accreditation Records	Office of the Provost	Permanent
	Records of all Promotion and Tenure Committees	Office of the Provost	Permanent for successful candidate; otherwise 7 years after denial of tenure/promotion
	Faculty Grievance and Discipline Records	Office of the Provost	7 years from resolution of the dispute
	Records of Faculty Senate and Faculty Committees (including, but not limited to, agendas, meeting minutes, reports)	Office of the Provost	5 years following end of academic year
	Current Faculty Handbook	Office of the Provost	Permanent
	Agendas and Minutes of Administrative Council Meetings	Office of the Provost	Permanent
	Records Concerning Grade Complaints and Appeals	Academic Department	1 year following student's graduation or transfer
	Faculty Course Records (including, but not limited to, syllabi, midterm grades, final grade reports, exams)	Academic Department	5 years after course completion

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

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INNOVATION AND ENTREPRENEURSHIP (Provost and Vice President for Academic Affairs)		Electronic Repository: Inteum	
	Documents Concerning Patents and In-Process Patent Applications (including, but not limited to, invention disclosures relating to such patents and in-process patent applications)	Office of Innovation and Entrepreneurship	10 years after patent expiration
	Documents Concerning Invention Disclosures Offered Back to Inventor and Accepted	Office of Innovation and Entrepreneurship	10 years after acceptance by inventor
	Documents Concerning Invention Disclosures Offered Back to Inventor and Rejected	Office of Innovation and Entrepreneurship	10 years after hypothetical patent on invention would expire
	Documents Concerning Copyrights	Office of Innovation and Entrepreneurship	10 years after copyright expiration
	Documents Concerning Agreements Relating to Patents or Copyrights (including, but not limited to, licenses, assignments, options, material transfer agreements, inter-institutional agreements)	Office of Innovation and Entrepreneurship	10 years following end of agreement

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
INTERNATIONAL STUDENT AND SCHOLAR SERVICES (Provost and Vice President for Academic Affairs)			
	Documents Concerning PERM Labor Certifications (including, but not limited to, Applications for Employment Certification and Certified ETA-9089)	Office of International Student and Scholar Services	5 years from the time the foreign national obtains permanent residency or leaves the University
	Admissions and Immigration Records For Applicants Accepted for Admission and Who Entered the United States Under F-1 Visas (including, but not limited to, Forms I-20)	Office of International Student and Scholar Services	3 years after the student's reporting obligations ends, per statute
	Admissions and Immigration Records For Exchange Visitors Enrolled Under J-1 Visas	Office of International Student and Scholar Services	3 years after the student's reporting obligation ends, per statute
	Form I-17	Office of International Student and Scholar Services	Permanent
	Labor Condition Applications for H-1B Petitions	Office of International Student and Scholar Services	1 year after labor condition application expires or is withdrawn
	H-1 and O Visa Petitions	Office of International Student and Scholar Services	1 year after foreign national has departed Stevens or changes status.
	Permanent Residence Petitions	Office of International Student and Scholar Services	5 years from the time the foreign national obtains permanent residency or leaves the University

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
INSTITUTIONAL RESEARCH (Provost and Vice President for Academic Affairs)			
	Final Reports and Statistics (including, but not limited to, materials pertaining to enrollment, graduation and faculty)	Office of Institutional Research	Permanent
	Reports to Government Entities and Third Parties	Office of Institutional Research	Permanent
	Course/Instructor Evaluations	Office of Institutional Research	Permanent

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
REGISTRAR (Provost and Vice President for Academic Affairs)		Electronic Repository: SIS	
	Student Grades	Office of the Registrar	Permanent
	Student Files	Office of the Registrar	Permanent
	Graduation Lists and Degrees Conferred	Office of the Registrar	Permanent
	Student Registration Forms	Office of the Registrar	Permanent
	Class Schedules	Office of the Registrar	Permanent
	Dissertation Documents; Qualifying Exams	Office of the Registrar	Permanent
	Veterans' Administration Certifications	Office of the Registrar	3 years after enrollment ends
	Documents Concerning the Family Educational Rights and Privacy Act (FERPA) (including, but not limited to, requests and releases under FERPA)	Office of the Registrar	3 years after enrollment ends
	Course Catalogs	Office of the Registrar / Library	Permanent
	Academic Theses and Dissertations (graduate and undergraduate)	Library	Permanent
	Student Application to Participate in Veterans' Programs	Veterans' Office	Permanent
	Reserve Officer Training Corp (ROTC) Documents	Veterans' Office	Permanent
	Memoranda of Understanding Relating to Veterans' Programs	Veterans' Office	Permanent

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
SPONSORED PROGRAMS (Provost and Vice President for Academic Affairs) <i>All classified material will be held in accordance with the National Industrial Security Program Operating Manual</i>		Electronic Repository: COEUS	
	Nondisclosure and Confidentiality Agreements	Office of Sponsored Programs	10 years from expiration of contract period
	Voluntary Disclosure Documents Submitted to a Sponsoring Agency	Office of Sponsored Programs	10 years from the final disposition of the disclosure
	Documents Concerning the Institutional Review Board (IRB)	Office of Sponsored Programs	7 years; records that relate to ongoing activities shall be maintained for the duration of the activity and for an additional three years after completion.
	Documents Concerning the Institute for Animal Care and Use Committee (IACUC)	Office of Sponsored Programs	7 years after completion of the project
	Export Control Records (including, but not limited to, documents pertaining to the Internal Control Program and Technology Control Plans)	Office of Sponsored Programs	7 years from the later of the date of export or any reexport or diversion or other termination of the transaction
	Sponsored Program-Related Financial Conflict of Interest Reviews and Determinations (and related documents)	Office of Sponsored Programs	7 years after completion of matter generating review and/or determination

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
SPONSORED PROGRAMS (Provost and Vice President for Academic Affairs) <i>All classified material will be held in accordance with the National Industrial Security Program Operating Manual</i>		Electronic Repository: COEUS	
	Documents Concerning Grants, Awards, Projects, Programs or any other Activities Funded by a Government Sponsoring Agency or Other Organization (and related documents)	Office of Sponsored Programs	7 years after completion of the project, unless another retention period is mandated by the project
	Documents Concerning to Classified Government-Sponsored Activities (including, but not limited to, DD Form 254)	Office of Sponsored Programs	7 years after completion of the project, unless another retention period is mandated by the project
	Unfunded Pre-Award Files Including a Copy of the Proposal Submitted to the Funding Agency	Office of Sponsored Programs	Until proposal is rejected or withdrawn or 12 months after submission if no action from sponsor
	Corporate-Sponsored Research Agreements	Office of Sponsored Programs	10 years following end of agreement
	Documents Concerning Personal and Facility Clearance	Office of Sponsored Programs	Permanent (unless otherwise required by the government); if Stevens no longer has a facility clearance, dispose immediately

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
ADMISSIONS (VP for Enrollment Management and Student Affairs; Provost and Vice President for Academic Affairs)		Electronic Repository: Slate	
	Undergraduate Applications of Students Who Do Not Enroll	Office of Undergraduate Admissions	3 years after start of academic year to which applicant applied
	Undergraduate Applications of Students Who Enroll	Office of the Registrar / Office of Undergraduate Admissions	5 years after enrollment ends (records to be transmitted to Office of the Registrar following matriculation for day-to-day reference; records to be maintained by the Office of Undergraduate Admissions in Slate for legacy purposes until transition to Workday Student is complete)
	Documents Related to Undergraduate Applications of Students Who Enroll (including, but not limited to, letters of recommendation, notes and emails)	Office of the Registrar / Office of Undergraduate Admissions	1 year after enrollment ends (records to be transmitted to Office of the Registrar following matriculation for day-to-day reference; records to be maintained by the Office of Undergraduate Admissions in Slate for legacy purposes until transition to Workday Student is complete)
	Graduate Applications of Students Who Do Not Enroll	Office of Graduate Admissions	3 years after start of academic year to which applicant applied

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
ADMISSIONS (VP for Enrollment Management and Student Affairs; Provost and Vice President for Academic Affairs)		Electronic Repository: Slate	
	Graduate Applications of Students Who Enroll	Office of Graduate Admissions	5 years after enrollment ends
	Documents Related to Graduate Applications of Students Who Enroll (including, but not limited to, letters of recommendation, notes and emails)	Office of Graduate Admissions	1 year after enrollment ends
	Documents Concerning Summer Programs (including, but not limited to, applications, releases and medical forms)	Office of Summer Pre-College Program	3 years after end of program

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
ATHLETICS (VP for Enrollment Management and Student Affairs)		Electronic Repository: Front Rush	
	NCAA Compliance Forms	Director of Athletics	7 years
	NCAA Eligibility Certifications	Director of Athletics	7 years
	Student Game Statistics	Director of Athletics	Permanent
	Student Athlete Statistics	Director of Athletics	Permanent
	Student Athlete Biographical Information	Director of Athletics	7 years after enrollment ends
	Documents Concerning Official Recruiting Visits	Director of Athletics	7 years following visit
	Waivers and Releases for Students, Employees and Facility Members	Director of Athletics	7 years after enrollment or employment ends or membership renewed
	Waivers and Releases Relating to Specific Events	Director of Athletics	7 years after event
	Medical and Training Records	Director of Athletics	7 years following graduation of student-athlete
	Athletic Camp and Clinic Records (including, but not limited to, third-party camp and clinic agreements, attendee records and incident reports, state inspection documents)	Director of Athletics	7 years after camp or clinic
	Original Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Athletics Matters (whether signed by hand or electronically)	Director of Athletics	10 years from expiration of contract period
	Equity in Athletics Disclosure Act Report	Director of Athletics	3 years following submission of report

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
CAREER CENTER (VP for Enrollment Management and Student Affairs)		Electronic Repository: Handshake	
	Outcome Reporting for Undergraduate Students	Career Center	Permanent
	Co-Op Records	Career Center	3 years after enrollment ends

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
FINANCIAL AID (VP for Enrollment Management and Student Affairs)		Electronic Repository: SIS	
	Documents Concerning Veteran Financial Aid Eligibility	Office of Financial Aid	7 years after end of enrollment
	Documents Concerning Student Work Study	Office of Financial Aid	7 years after end of enrollment
	Student Community Service Agreements with Third Parties	Office of Financial Aid	7 years after end of enrollment
	Fiscal Operations Report and Application to Participate	Office of Financial Aid	3 years from the end of the award year in which the report was submitted
	Perkins Loan Records (including, but not limited to, documents relating to a student's eligibility for and/or participation in Perkins Loans)	Office of Financial Aid	3 years after the loan is satisfied, canceled, or assigned
	Documents Concerning Students' Eligibility for and/or Participation in Direct Loans	Office of Financial Aid	3 years from the end of the award year in which the student last attended
	Documents Concerning Direct Loans (other)	Office of Financial Aid	3 years from the end of the award year in which the report was submitted
	Documents Concerning Other Student Financial Aid (including, but not limited to, financial aid from the State of New Jersey)	Office of Financial Aid	3 years from the end of the award year in which the student last attended
	Documents Concerning Program Reviews and Audits	Office of Financial Aid	Permanent

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
RESIDENCE LIFE (VP of Enrollment Management and Student Affairs)		Electronic Repositories: RMS, Blackboard	
	Housing Assignments	Office of Residential and Dining Services	7 years after enrollment ends
	Student Housing Agreements	Office of Residential and Dining Services	7 years after enrollment ends
	Meal Plan Enrollments	Office of Residential and Dining Services	7 years after enrollment ends
	Room Inventory and Inspection Reports	Office of Residential and Dining Services	7 years after inspection
	Records Concerning Resident Assistants (RAs) (including, but not limited to, rosters, schedules, training records)	Office of Residential Education	7 years
	Lease Agreements With Third-Party Landlords	Office of Residential and Dining Services	7 years after end of lease term
	Documents Concerning Food Service (including, but not limited to, staff lists, equipment lists, repair lists)	Office of Residential and Dining Services	7 years
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Residence Life Matters (whether signed by hand or electronically)	Office of Residential and Dining Services or the Office of Residential Education	10 years from expiration of contract period

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
STEVENS TECHNICAL ENRICHMENT PROGRAM (STEP) / EDUCATIONAL OPPORTUNITY FUND (EOF) (VP of Enrollment Management and Student Affairs)			
	EOF Reports	STEP/EOF Office	10 years
	STEP/EOF Student Files	STEP/EOF Office	3 years after enrollment ends

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
STUDENT ACCOUNTS (VP for Enrollment Management and Student Affairs)		Electronic Repository: TouchNet, Blackboard, SIS	
	Documents Concerning Tuition and Fees (including, but not limited to, invoices and payment records)	Office of Student Accounts	Permanent
	Documents Concerning Collection Efforts (internal and external)	Office of Student Accounts	Permanent
	Journals and Cash Receipts (tracking payments received in a certain time period)	Office of Student Accounts	7 years
	Promissory Notes for Perkins Loans	Office of Student Accounts	3 years from the date the loan is canceled, repaid or assigned
	Transaction Receipts (including, but not limited to, checks and credit card receipts)	Office of Student Accounts	1 year after reconciliation into journal
	Hold or Encumbrance Authorizations and Releases	Office of Student Accounts	Upon release
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Student Accounts Matters (whether signed by hand or electronically)	Office of Student Accounts	10 years from expiration of contract period

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
STUDENT AFFAIRS (VP for Enrollment Management and Student Affairs)		Electronic Repository: Advocate, Titanium	
	Records Containing Title IX Investigations Involving Students (and related documents)	Office of Student Affairs	Permanent
	Records Concerning Biennial Review Pursuant to Drug Free Schools and Communities Act (and related documents)	Office of Student Affairs	Permanent
	Documents Concerning the Honor Board (including documents concerning Honor Code violations)	Office of Student Affairs	3 years after enrollment ends
	Documents Concerning Disciplinary Actions and Appeals	Office of Student Affairs	3 years after enrollment ends
	Non-Grade Student Grievances (and related documents)	Office of Student Affairs	3 years after enrollment ends
	Documents Concerning Disciplinary Actions Relating to Residence Halls	Office of Student Affairs	7 years after enrollment ends
	Documents Concerning Fraternity and Sorority Organizations	Office of Student Life	Permanent
	Documents Concerning Student Counseling (including, but not limited to, correspondence, notes and forms)	Counseling and Psychological Services	10 years from end of enrollment
	Documents Concerning Student Disabilities (including, but not limited to, correspondence, notes and forms)	Office of Disability Services	10 years from end of enrollment
	Student Medical Records	Student Health Center	10 years from end of enrollment

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
UNIVERSITY EVENTS (VP for Enrollment Management and Student Affairs)		Electronic Repository: EMS	
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning University Events Matters (whether signed by hand or electronically)	Office of University Events	10 years from expiration of contract period
	Documents Concerning Commencement Logistics	Office of University Events	7 years after event
	Documents Concerning Internal Use of University Facilities (including, but not limited to, room reservations, set-ups and tear-downs and equipment requests)	Office of University Events	7 years after event

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
FINANCE (CFO, Vice President for Finance and Treasurer)		Electronic Repositories: Kuali, Concur, Workday	
	Bank Statements	External	7 years
	P-Card Statements and Receipts	External	7 years
	Annual Audited Financial Statements (and related documents)	Division of Finance	Permanent
	Internal and External Audit Findings	Division of Finance	Permanent
	Annual Audit Plan	Division of Finance	7 years after period ends
	IRS Filings and Communications (including, but not limited to, tax exemption documents)	Division of Finance	Permanent
	Documents Concerning Foreign Sourced Revenue and/or Gifts	Division of Finance	Permanent
	State, Local and Property Tax Records	Division of Finance	Permanent
	Payroll Records	Division of Finance	7 years (payroll records in Workday may be retained permanently)
	Documents Concerning Investments (including, but not limited to, state filings and periodic investment reports)	Division of Finance	7 years
	Documents Concerning Annuities	Division of Finance	Permanent
	Endowment Records (including, but not limited to, periodic investment reports)	Division of Finance	Permanent
	Records Concerning Alternative Investments	Division of Finance	Permanent
	Records Concerning Short-Term Investment of Non-Endowment Funds	Division of Finance	Permanent
	Bond Records (including, but not limited to, drawdown requests)	Division of Finance	Permanent
	Documents Relating to Indebtedness Other Than Bonds	Division of Finance	7 years
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Finance Matters (whether signed by hand or electronically)	Division of Finance	10 years from expiration of contract period
	Bank Account Opening Records (including, but not limited to, signature cards)	Division of Finance	7 years after closure of account
	Documents Relating to Fixed Assets (including, but not limited to, the fixed assets register)	Division of Finance	7 years after expiration of asset
	Documents Relating to Capital Equipment Depreciation	Division of Finance	7 years
	Contracts for Goods and Services Executed by Procurement (including, but not limited to, certificates of insurance)	Division of Finance	7 years after termination of contract

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
FINANCE (CFO, Vice President for Finance and Treasurer) (continued)		Electronic Repositories: Kuali, Concur, Workday	
	Purchase Orders and Supporting Documentation	Division of Finance	7 years after termination of contract
	Accounts Payable Vouchers	Division of Finance	7 years
	Annual Budgets	Division of Finance	7 years
	Internal Accounting Reports, Department Account Balances, Statements (and related documents)	Division of Finance	7 years
	Monthly Reconciliation of General Ledger	Division of Finance	7 years
	Travel and Expense Records	Division of Finance	7 years
	Documents Concerning Artwork	Division of Finance	7 years after disposition of the work
	Vehicle Records	Division of Finance	1 year following disposal of the vehicle
	Driver Records	Division of Finance	3 years after end of employment of driver
	Check Requests	Division of Finance	7 years
	Documents Concerning Sponsored Accounting (including, but not limited to, financial reports, invoices, rate proposal submissions, and other supporting documentation)	Division of Finance	7 years after the completion of the relevant project

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
COMPLIANCE (CFO, Vice President for Finance and Treasurer)			
	Documents Relating to Enterprise Risk Management	Chief Compliance Officer	Permanent
	Compliance Guide and Related Documents	Chief Compliance Officer	Permanent
	Compliance Assessments (including, but not limited to, allegations and investigations)	Chief Compliance Officer	Permanent
	Annual or Periodic Compliance Reports	Chief Compliance Officer	Permanent
	Compliance Training Statistics	Chief Compliance Officer	Permanent
	Compliance Investigation Materials	Chief Compliance Officer	Permanent
	Risk and Compliance Steering Committee Records	Chief Compliance Officer	7 years

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
ENVIRONMENTAL HEALTH AND SAFETY (CFO, Vice President for Finance and Treasurer)			
	Environmental Related Records (including, but not limited to, air emission inventory, underground storage tank records, environmental investigations, Right to Know surveys)	Office of EHS and Insurance Risk Management	Permanent
	Hazardous Materials Disposal (including, but not limited to, disposal records for hazardous waste, biological waste, universal waste, electronics waste, asbestos waste)	Office of EHS and Insurance Risk Management	Permanent
	Asbestos Data (including, but not limited to, documentation related to asbestos building surveys, abatement projects, operations and maintenance repairs)	Office of EHS and Insurance Risk Management	Permanent
	Personal exposure monitoring (including, but not limited to, exposure monitoring for asbestos, chemical exposure, noise)	Office of EHS and Insurance Risk Management	Permanent
	Radiation Safety (including, but not limited to, dosimetry records, contamination survey, license information, correspondence with NJDEP)	Office of EHS and Insurance Risk Management	Permanent
	Engineering Controls Survey Data (including, but not limited to, annual performance surveys for chemical fume hoods and biosafety cabinets)	Office of EHS and Insurance Risk Management	Permanent
	Internal Inspection Records (including, but not limited to, laboratory safety inspections, environmental compliance inspections)	Office of EHS and Insurance Risk Management	Permanent
	Documents Concerning Employee Training	Office of EHS and Insurance Risk Management	Permanent
	Fire Safety Documents (including, but not limited to, evacuation drill reports, system inspections and training records)	Office of EHS and Insurance Risk Management	7 years
	Risk and Safety Committee Records	Office of EHS and Insurance Risk Management	7 years

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
INSURANCE AND RISK MANAGEMENT (CFO, Vice President for Finance and Treasurer)			
	Insurance Policies (and related documents)	Office of EHS and Insurance Risk Management	Permanent
	Certificates of Insurance (other than for goods and services)	Office of EHS and Insurance Risk Management	Permanent
	Insurance Claims (and related documents)	Office of EHS and Insurance Risk Management	7 years

Record Retention Schedule

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
FACILITIES, OPERATIONS, AND REAL PROPERTY RECORDS (VP for Facilities and Campus Operations)		Electronic Repository: Archibus / Autocad / TMA	
	Land Records (including, but not limited to, deeds, easements, licenses, rights of way, surveys and title searches)	Division of Facilities and Campus Operations	Permanent
	Maintenance and Operations Records (including, but not limited to, closeout binders, turnover documents, warranties and manuals)	Division of Facilities and Campus Operations	Permanent
	Certificates of Occupancy	Division of Facilities and Campus Operations	Permanent
	Title Insurance Policies	Division of Facilities and Campus Operations	Permanent
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Facilities Matters (whether signed by hand or electronically)	Division of Facilities and Campus Operations	10 years from expiration of contract period
	Construction Project Records (including, but not limited to, RFPs, bids, agreements, contracts, change orders, payment requisitions, permits, blueprints and other architectural documents, bond records, reports, studies, submissions to city authorities, approvals from city authorities)	Division of Facilities and Campus Operations	10 years after project completion
	Documents Concerning Zoning	Division of Facilities and Campus Operations	Permanent
	Documents Concerning Historical Preservation	Division of Facilities and Campus Operations	Permanent
	Documents Concerning University-Owned Housing Other Than Student Housing (including, but not limited to, utility bills and short stay agreements)	Division of Facilities and Campus Operations	7 years
	Work Order Requests, Tickets and Time Sheets	Division of Facilities and Campus Operations	1 year

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
CAMPUS POLICE (VP for Facilities and Campus Operations; VP for Enrollment Management and Student Affairs) <i>Stevens complies with all state and local laws, rules and regulations concerning the retention of police records. To the extent that anything in this schedule conflicts with such laws, rules or regulations, such laws, rules or regulations take precedence.</i>			
	Crime Logs	Campus Police	Permanent
	Security Reports	Campus Police	Permanent
	Timely Warning Notices and Crime Bulletins	Campus Police	Permanent
	Clery Reports and Related Documents	Campus Police	Permanent
	Incident Reports	Campus Police	Permanent
	Cooperation Agreements	Campus Police	Permanent
	Security Camera Footage	Campus Police	30 Days, unless archived; if archived, 1 year following resolution of issue leading to archive
	Requests for Access to Security Camera Footage	Campus Police	7 years
	Police Training Records	Campus Police	7 years
	Emergency Management Plan	Campus Police	7 years

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
HUMAN RESOURCES (VP for Human Resources)		Electronic Repository: Workday	
	Collective Bargaining Agreements and Memoranda of Understanding between Stevens and the Union Representing Stevens' Facilities Employees	Division of Human Resources	Permanent
	Union Grievances	Division of Human Resources	7 years after termination of employment
	Personnel Files (including, but not limited to, appointment letters, forms, annual reviews, leave and accommodation requests, benefits requests, and "working papers" for student employees)	Division of Human Resources	Permanent
	Office of Federal Contract Compliance Programs (OFCCP) Audits and Internal Reviews (and related documents)	Division of Human Resources	Permanent
	Equal Employment Opportunity Reports and Forms (and related documents)	Division of Human Resources	Permanent
	Affirmative Action Plans	Division of Human Resources	Permanent
	Visas and Other Records Authorizing Employment in the United States	Division of Human Resources	Permanent
	Title IX Investigations Involving Employees (and related documents)	Division of Human Resources	Permanent
	Employment Applications (and other materials relating to recruitment and hiring)	Division of Human Resources	7 years after termination of employment for successful candidates; 3 years after decision not to hire for unsuccessful candidates
	Recruitment and Search Committee Records	Division of Human Resources	7 years from the conclusion of employment for successful candidate; otherwise three 3 years after completion of search
	Non-Union Staff Complaints and Grievances (and related documents)	Division of Human Resources	7 years after termination of employment

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
HUMAN RESOURCES (VP for Human Resources) (continued)		Electronic Repository: Workday	
	I-9 Forms	Division of Human Resources	3 years after date of hire or 1 year after termination, whichever is later
	ERISA Committee Records	Division of Human Resources	Permanent
	Benefits Advisory Committee Records	Division of Human Resources	5 years
	Documents Concerning Benefit Plan Offerings (including, but not limited to, medical, dental, vision, retirement plans)	Division of Human Resources	Permanent
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Human Resources Matters (whether signed by hand or electronically)	Division of Human Resources	10 years from expiration of contract period
	Documents Concerning Worker's Compensation	Division of Human Resources	7 years

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
DEVELOPMENT (VP of Development)		Electronic Repository: Raiser's Edge / Papersave	
	Documents Concerning Gifts, Pledges and Bequests to the Endowment	Division of Development	Permanent
	Documents Concerning Gifts, Pledges and Bequests of Personal Property	Division of Development	Permanent
	Documents Concerning In-Kind Gifts, Pledges and Bequests	Division of Development	Permanent
	Documents Concerning Unrestricted Gifts, Pledges and Bequests	Division of Development	Permanent
	Documents Concerning Restricted Gifts, Pledges and Bequests	Division of Development	Permanent
	Charitable Gift Receipts	Division of Development	Permanent
	Documents Concerning State Registration Supporting Charitable Solicitation (and related documents)	Division of Development	Permanent
	Alumni Contact Information	Division of Development	Permanent
	Correspondence with Alumni Regarding Donations	Division of Development	Permanent
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Development Matters (whether signed by hand or electronically)	Division of Development	10 years from expiration of contract period

Stevens Institute of Technology
Record Retention Schedule

11/27/2018

Category (Responsible Officer)	Record	Repository	Retention Period (unless otherwise indicated, records are subject to disposal after the time period indicated)
COMMUNICATIONS AND MARKETING (VP of Communications and Marketing)		Electronic Repository: Website	
	Press Releases	Division of Communications and Marketing	7 years
	Press Clippings	Division of Communications and Marketing	7 years
	Photographs	Division of Communications and Marketing	3 years, then library
	Photo and Other Releases	Division of Communications and Marketing	7 years
	Brochures/Catalogs/Advertising	Division of Communications and Marketing	3 years, then library
	Original Versions of Agreements, Contracts, Memoranda of Understanding, Letters of Intent Concerning Communications and Marketing Matters (whether signed by hand or electronically)	Division of Communications and Marketing	10 years from expiration of contract period
	Commencement Programs	Library	Permanent
	Yearbooks	Library	Permanent
	Publications (including, but not limited to, The Stute and The Indicator)	Library	Permanent