Records Retention Schedules

The University at Buffalo is required to follow the record retention guidelines identified in one or more of the following schedules:

1. SUNY - Records Retention Schedule
2. NY State – General Record Retention Schedule
3. Research Foundation Records

Many of the topics on these schedules are broad and describe the purpose or function of records rather than identifying individual records and forms. Records whose content and function are substantially the same as an item described on the schedules should be considered to be covered by that item. The SUNY Records Retention Schedule (SUNY Schedule) contains records specific to SUNY, while the State General Records Retention Schedule (State Schedule) includes all State records. Many of the SUNY Schedule topics are not covered by the State Schedule and some are a supplement to the State Schedule. If records appear in both schedules, the records should be maintained per the SUNY Schedule requirements.

- The schedules indicate the minimum length of time that University officials must retain the “official” records before the records may be disposed of.
- Non-official copies of the records should be disposed of when the department no longer has an administrative need for them.
- The record retention period should be consistently applied no matter what the storage media is (paper, electronic, etc.).
- Any records that are part of a legal action or audit should be maintained until one year after the legal action or audit is completed, or the records normal retention period, whichever is longer.
**SUNY – Records Retention Schedule**

**Table of Contents** – Describes general categories of records.

**Academic Affairs and Instruction** – Accreditation records, curriculum development records, academic program proposals, records of Institutional Review Boards, master plan documents. Instruction includes course listings, instructor lesson plans, instructor’s grade records, class schedules, exam test papers, evaluations of course instructors.

**Alumni and Development** - Alumni biographic data, donor information records, records of gifts and bequests, alumni association and foundation files.

**Athletics** – Player recruitment files, scholarship files, gender equity records, substance or alcohol abuse training records, athletic training records, athletic health information reports.

**Camps** – Enrollment records, parent consent records, vehicle use file, applications for camp, facility information data record.

**Counsel** – General files, claims files, legislation files, system administration and campus files.

**Student Counseling and Career Services** – Student counseling records, student appointment records, compilation reports of students served, career placement records.

**Executive Records** – Presidents office files, executive office files, inaugural and anniversary records.

**Financial Aid** – Federal student financial aid reports, state financial aid reports, student bankruptcy records

**Health Information** - Health Center medical records, patient medical records, medical test records, transfusion and blood product records, birth registry, pharmacy records, HIPPA disclosure logs, release of human remains, medical staff credentialing, medical staff governing body records, infection control, incident reports, equipment testing records, radiation report records, regulatory reports

**Student and Staff Housing** – residency occupancy records, damage records

**Museums and Art Galleries** – campus exhibit files, campus collections records, campus arts program records

**Public Safety and Security** – Law enforcement accreditation records, fire prevention records, communications recordings, campus safety records, incident reports, arrest records, firearms purchase and issuance records, report of missing firearms, parking violation records.
**Student Accounts** – Student accounts folders and correspondence, credit card receipt records, cumulative payment listings and cumulative transaction logs.

**Student Records** – Student academic records, admissions data, student information system, FERPA Compliance, student advising records, proof of residency, student degree and grade records, student discipline records, scholarship records, recruitment records, student complaints regarding the Americans with Disabilities Act, disabled student files, commencement records, international student records, international program/overseas academic program records.

**University Audit** – Internal Audits, Federal Audits, State Audits, non government audits, internal audit files.

**Index of Record Descriptions** – Alpha index of record descriptions
NY State – General Records Retention Schedule

**Affirmative Action** - affirmative action and reasonable accommodation plans and procedures, recruitment plans and reports, affirmative action program report files, affirmative action and reasonable accommodation case files, outreach program records, and human rights training records.

**Budget Preparation** - budget preparation and request records.

**Equipment, (Major) Supplies Inventories & Motor Vehicle Mgmt** - equipment inventory, (major) parts and supplies inventories, equipment and motor vehicle maintenance records, motor vehicle assignments, vehicle incident reports, and recycling reports.

**Employee Relations** - grievance case records, disciplinary action records, labor-management process records, PERB case records, and employee relations subject files.

**Facilities Management** - fixed asset inventory records, fixed asset inventory reports, facilities maintenance file logs, records requesting use of facilities, physical plant drawings and files, lease files, space allocation planning files, parking permit application and assignment files, physical plant systems and monitoring and inspection records, facilities management subject files, and contractors certified payrolls.

**Fiscal Operations** - records to manage, account for, collect and expend funds. It includes accounting, purchasing and payments, fiscal administration, revenue accounting and collections, accounts receivable records, daily journal reports, and bank file procedures and transaction records.

**Forms Management** - forms history files, forms inventory records, and forms management subject files.

**General Administration** - minutes and agendas of governing and advisory bodies, reports of major administrative studies, major administrative and operating plans, routine administrative and operating plans, administrative policy and procedures development files, email message retention, and non record copies of agency records.

**Health Safety and Security** - environmental audit reports, toxic substance files, hazardous substance exposure records, toxic substances training and education files, employee occupational injury and illness records, facility health and safety inspection records, fire code compliance records, fire safety training education and program records, building security logs and videotapes, security related incident and investigation records, health safety and security subject files, facility disaster preparedness files, and disaster response and recovery records.

**Information Technology** -
- general administration such as data processing unit subject files, IT and data processing service plans;
• systems and application development such as application development project files, information systems specifications, data documentation, program listing/source code, technical program documentation;
• computer operations and technical support such as hardware documentation, data migration and systems upgrade records, computer disaster preparedness and recovery plans, system backup files, user authorization records, computer security and incident records, computer usage reports, processed transaction files, audit trail files, electronic indexes, lists, registers and other tracking systems, and tape library control records;
• data administration such as database directory records and reports
• IT support such as site/equipment support files, help desk records, hardware and software review files
• network and data communication services such as network site/equipment support files, inventories of network circuits/connections, network service files, network implementation project files, and agency internet service logs.

**Internal Controls**- internal control policies and directives, vulnerability assessments, internal control audit reports and work papers, and internal control program subject files.

**Library Operations**- catalogs of holdings, circulation records, collection acquisition records, serial subscription records, interlibrary loan files, and library subject and correspondence files.

**Mail and Messenger Services**- mail pickup and delivery records, mail routing plans and schedules, mail and address lists, and mail services subject files.

**Minority and Women-Owned Business Enterprises**- MWBE development subject files, and compliance reports.

**Payroll**- tax withholding forms, preprocessing reports, biweekly payroll records, paycheck log, and payroll deduction and direct deposit logs.

**Personnel**- recruitment and appointment records, personal history files, employee service records, employee attendance and leave records, personal transaction forms, I-9 forms, employee assistance records, ethics records, classification files, eligible lists, health insurance files, retirement benefits files, and workers compensation files.

**Public Information**- records requests and information inquiries, FOIL requests and appeal records, personal privacy records access and appeals, requests for records amendments, and public information subject files.

**Publication and Reproduction Services**- publication job files, publication production records, duplication service job files, and publication and duplication subject files.

**Records Management**- descriptive inventory of agency files, records disposition authorization files, records storage files, records disposal files, and records management program subject files.
Telecommunications Management - telephone and fax installation job files, telecommunications use logs and reports, telecommunication planning records, telephone wiring schematics and diagrams, telephone directories, and telephone subject files.

Training - employee training course information records, course registration records, employee training history, and tuition reimbursement program records.

Research Foundation Records

UB must follow The Research Foundation of SUNY (RF) Records Retention Policies for all RF related documents. RF Records should NOT be filed with the records of any other funding entity.

- **RF Record Retention for Project Administration Records** - account billing and correspondence files, grant agreements, contracts, subcontracts, leases, consultant agreements, patent records, technology transfer documents.
- **RF Record Retention for Account Expenditure Records** - payroll and general journal entries [expenditure transfers], petty cash documents, vendor [accounts payable] payment files, property control system records.
- **RF Record Retention for Person-Related Records** - attendance reports, fellowship files, garnishments, income fund reimbursable files, leave accrual/use records, personnel activity reporting forms, personnel/payroll files, retirement records.