

Appendix B: Record Retention Schedule

Record Category	Retention Period (Yrs.)	Authority
Administrative and/or Executive Records		
Broadcast License - Experimental broadcast records	2	47 CFR 74.181
Public Relations Materials - all recruitment materials	1	38 USC 3696
Policies and procedures with respect to Protected Health Information in compliance with Health Insurance Portability and Accountability Act	the later of 6 from date of creation or from the date when last in effect	45 CFR 164.530(j)
Waivers and Releases	the later of 2 after the activity or if participant was a minor, 2 after minor turns 18	Tex. Civ. Prac. & Rem. Code 16.003
Signed Contracts	4 years after the end of the contract	Tex. Civ. Prac. & Rem. Code 16.051
Federal Grant Records		
Records which fully disclose the amount and disposition of those funds, total cost of the activity, share of the cost provided by other sources, records that facilitate a financial or programmatic audit, financial records, supporting documents, statistical records, and all other records pertinent to an award.	the later of 3 after completion of the activity for which the funds are used or 3 from the date of submission of the final expenditure report	20 USC 1232f(a); 34 CFR 64.53
Financial Aid Records		
Athletically Related Student Aid Records: Number of students receiving aid, race and sex of the students organized by sport, Graduation Rate	3 after the end of the award year	20 USC 1092(e),(g)
Federal Pell Grant Documents: Docs related to administration of programs	3 after the end of the award year	34 CAR 690.81-82, 668.24, 668.164
Federal Perkins Loan Documents: Repayment records, Cancellation and Deferment requests	3 after loan is repaid or canceled	34 CAR 674.19, 668.24
Federal Family Education Loan audit report required under 34 CFR 682.305(c)	5 after report is issued	34 CFR 682.414(a)

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Fiscal Operations Report and Application to Participate in Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant Program, Federal Work Study Programs, Any data necessary to support the data in the FISAP	3 after end of award year in which FISAP is submitted	34 CFR 668.24, 674.19, 675.19, 676.19
Records relating to Federal Guaranteed Student Loan program lenders including Title IV, HEA FFEL program loans: Application, deferment eligibility, collection history	5 years after the loan is repaid in full	34 CFR 682.515
Financial Records		
Local-government grantees	3 from starting date: generally the day the grantee submits to the awarding agency its single or last expenditure report	34 CFR 80.42
Non-profit grantees	3 from submission of final expenditure report, or for awards renewed periodically, from the date of submission of periodic report	34 CFR 74.53(b)
Sales & Purchase Records: record of total sales & volumes purchased or received during such periods	3	29 CFR 516.5(6)©
Gift and Estate Planning Records		
Gift Receipts	6	26 USC 6501
Human Resources and Payroll Records		
Adverts or notices to the public or to employees relating to job openings, promotions, training programs, or opportunities for overtime	Duration of employment plus 1	29 CFR 1627.3(b)
Certificates and Notices required to be posted	2	29 CFR 516.1, 516.6, 516.20, 516.34

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Basic Employment and earnings records: Time cards, job classifications and descriptions, job evaluations, wage rate tables, wages paid to men and women and any docs that describe or explain the basis for payment of any wage differential to employees of the opposite sex in the same establishment	2 or 3	29 CFR 516.6, 29 CFR 1620.32
Employee Benefit Plans: Pension and Insurance, Seniority and Merit System	Full period of the plan plus 1	29 CFR 1627.3(b)(2)
Employee Personnel Records Required under the Family & Medical Leave Act: Basic payroll and ID data, Dates FMLA leave is taken, Docs related to employee benefits, copies of FMLA notices, Records of FMLA disputes	3	29 CFR 825.500
Employee Personnel Records related to the following: employment inquiries (resumes, applications), Promotion/demotion/transfer or similar documents, job orders, physical exam records, test records.	1 from date of the activity to which records relate	29 CFR 1627(b)(1)
Employee Personnel Records required under Title VII and the ADA: Requests for reasonable accommodation, Application forms submitted by applicants requesting accommodation; Name, address, DOB, pay rate, weekly compensation; Records having to do with hiring, promotion, layoff, termination, rates of pay or other terms of compensation and selection for training	the later of 2 from making the personnel action, decision or the record or 2 after the date of involuntary termination	29 CFR 1602.49, 29 CFR 1602.14
Employment Development Department Records Requirement: Period of pay, name, SSN, date hired, workplace, remuneration paid to each worker, disbursement records; Employment Tax-related records: Returns, schedules, statements indicating withheld taxes, refund claims, W-2, W-4, 1099	4	26 CFR 31,60001-1,2

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Higher Education Staff Information Report, EEO-6 Records and Information	3	29 CFR 1602.48
I-9 Employment Eligibility Verification Forms	3 after hiring, 1 after termination, whichever is later	8 CFR 274A.2
Employee Medical Records	Maintain during employment and then for 30 unless employee worked for less than 1. In which case, give the employee the records upon termination or keep for 30	29 CFR 1910.1020(d)(1)(i)
Payroll & Related Personnel Records	3 to 4	29 CFR 516.2-3, 29 CFR 1627.3
Polygraph related documents - Documentation of who requested the test, why it was requested, who administered the test, results, etc.	3	29 CFR 801.30
Records regarding claims of discrimination or a civil suit, including all personnel records of the individuals involved and all employees holding positions similar to that held or sought by the plaintiff	Final disposition of the matter	29 CFR 1602.49
Retirement records: Annual report for benefit plan, welfare, vouchers, worksheets, receipts and applicable resolutions, etc.	6	29 USC 1027
Safety/Environmental/Security Records		
Records of on the job injuries	5 after the year to which they relate	
Annual Security Reports (Law Enforcement)	3 from date the data is first available	20 USC 1092(f)(I)(F)
Asbestos records regarding hazardous exposure	30	29 CFR 1910.19, 1910.1001(n)(2)(ii)(F)(iii), 1915.10001
OSHA Records - General: Records verifying information sent to Secretary such as vouchers, worksheets, receipts, applicable resolutions	5	29 USC 436, 651 et seq.

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Student Records		
Records of Exchange Visitors (J-1 visas)	Period of Enrollment + 3	22 CFR 62.10(h), 514.10(h)
Records of Immigrant Students (F-1 and M-1 visas)	Period of Enrollment and 1 after notificaiton to INS that student left the University	8 CFR 214.3(g)
Timesheets for Student Employees	3 after end of employment	34 CFR 668.24(e)
Tax Records		
Form 990 Return of Organization Exempt from Income Tax	3 from filing date	26 USC 6104(d)
Notice of disallowance of taxpayers claim by Secretary	2 from date of mailing by certified or registered mail	26 USC 6532
Returns - Return & Assessment Dates for Many Taxes: Gift, estate, excise, income, personal holding company, constructive dividends, etc.	6	26 USC 6501(e),(f)
Records related to overpayment of any tax for application of a tax refund or credit claim	the later of 3 from time return was filed or 2 from the time tax was paid	26 USC 6511