

### APPENDIX A:

### UNIVERSITY RECORDS SCHEDULE

Consistent with the [Records Management Policy](#), schools and divisions that maintain University Records are responsible for establishing appropriate records management procedures. This University Records Schedule provides timeframes for the retention and disposal of University Records in accordance with applicable legal, regulatory, accreditation, and other standards, including recommended best practices.

“University Records” means all official materials created in the course of the university’s operations. This includes information created or received in any form, such as emails, paper documents, electronic files, database or application information, photographic media, and other electronic information.

*Note: One copy of any record that has a retention period ending with a “\*” symbol must be transferred to the University Archives upon the expiration of the stated retention period. One copy of any record that has a “permanent\*” retention period must be transferred to the University Archives when the record is no longer utilized by the originating school, department, or office.*

RECORDS	CUSTODIAN	RETENTION PERIOD
<b>ACADEMIC</b>		
Accreditation Records	Office of the Provost; Originating School	Permanent*
Admissions Brochures and Advertising Records	Originating School; University Graduate Admissions; Graduate Enrollment Management	3 years*
Course Evaluations	Survey Research and Analysis; Originating School	10 years
Program Accreditation/ Certifications	Originating School	Permanent*
Tuition and Fee Records	Finance	5 years
University Bulletin	Registrar; Academic Planning and Assessment	Permanent*
University Class Schedules and Rosters	Registrar	Permanent*

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<b>COMPLIANCE</b>		
Conflict of Interest Disclosures	Office of Compliance and Privacy	3 years from the date the final expenditures report is submitted to the PHS or, where applicable, from other dates specified in 45 C.F.R. § 74.53(b) and 92.42(b) for other contexts
University Policies	Office of Compliance and Privacy	Permanent*
<b>FACILITIES, OPERATIONS, AND REAL PROPERTY</b>		
Above Ground Storage Tank Regulatory Compliance and Spill Prevention Control and Countermeasure Plans	Operations	5 years or until revisions are received
Abstracts for Titles	Operations	Permanent*
Agency Approvals	Operations	Permanent*
Building and Land Inventory	Operations; Comptroller	Permanent*
Campus Plan Documents	Operations	Permanent*
Certificates of Occupancy	Operations	Life of building
Clean Air Act Titles IV and V regulatory compliance documentation	Operations	5 years
Construction and Building Permits	Operations	Life of building
Construction Bid Records	Operations	5 years after project completion
Construction Contracts	Operations	5 years after project completion
Construction Records	Operations	5 years after project completion
Documents for Leases, Licenses, Construction Contracts, and other Temporary Contracts related to Real Property	Operations	5 years from expiration of agreement
GWorld Card Records	GWorld Office	5 years from creation of record
Plats, Surveys, and Utility Location Maps	Operations	Permanent*

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Property Deeds, Easements, Licenses, Rights of Way, Rights of First Refusal, Remainder Interests, Mortgages	Operations	Permanent*
Real Property Disposition	Operations	Permanent*
Real Property Tax Exemption Applications and Renewals, Income and Expense Filings	Operations	Scan documents and dispose of originals annually
Storm Water Management Unit Covenants and As-Build Drawings	Operations	Life of equipment
Title Insurance Policies	Risk Management	10 years after disposal of property
Underground Storage Tank Regulatory Compliance Documentation for Fuel Oil Tanks	Operations	Remaining Operating Life of the UST
Vehicle Records, including title, registration, plates	Operations	Life of the vehicle
Work Order Requests	Operations	3 years (all work requests are maintained electronically)
<b>FINANCE</b>		
<b>ACCOUNTING AND FINANCIAL</b>		
Accounting Reports (Monthly), Department Balances, Statements	Comptroller	Year-end reports: 5 full fiscal years;  Interim monthly reports: 3 full fiscal years
Accounts Payable Vouchers	Accounts Payable	5 full fiscal years
Accounts Receivable Statements	Student Accounts Office	5 full fiscal years
Annual Financial Reports	Comptroller	Permanent*
Banking Records	Treasury Management	5 full fiscal years
Capital Equipment Records	Comptroller	Life of asset plus 3 years
Cash Receipts	Comptroller	5 full fiscal years
Debt Issuance Records (taxable and tax exempt)	Treasury Management	Life of debt plus 3 years
Depreciation Records	Comptroller	Life of asset
Donated Life Insurance Policies	Comptroller	Until maturity plus 3 years

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Invoices Generated by Schools or Divisions	Originating School or Division	3 year or for purchases on federally funded projects, 3 years from the final report, whichever is longer
New Account Records and Supporting Documentation	Comptroller	5 full fiscal years
P-Card Administration Records	Procurement	3 years, or for purchases on federally funded projects, 3 years from the final report, whichever is longer
P-Card Statements and Receipts	Procurement	3 years, or for purchases on federally funded projects, 3 years from the final report, whichever is longer
Purchase Orders	Procurement	5 years from expiration of contract, or for purchases on federally funded projects, 3 years from the final report, whichever is longer
Reconciliations of General Ledger Accounts	Comptroller	5 full fiscal years
Requests for Applications (RFAs)	Procurement	3 years, or for purchases on federally funded projects, 3 years from the final report, whichever is longer
Split-Interest Agreements	Comptroller	Until maturity plus 3 years
Subawardee Proposals in Response to RFAs	Originating School or Division	3 years, or for purchases on federally funded projects, 3 years from the final report, whichever is longer
Subsidiary Ledgers	Comptroller	5 full fiscal years
Supplier Registration Records, including W-8s and W-9s	Procurement	3 years from the last update
Surveys and Regulatory Reports	Comptroller	5 years
Travel Reimbursements	Accounts Payable	5 full fiscal years, or for travel on federally funded projects, 3 years from the final report, whichever is longer
Vendor Applications in Response to RFAs	Procurement	3 years, or for purchases on federally funded projects, 3 years from the final report, whichever is longer
Work Papers Supporting Annual Financial Statements	Comptroller	5 full fiscal years

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<b>Budget</b>		
Annual Budgets	University Budget Office; SMHS, as applicable	3 years*
Budget Changes and Reports	University Budget Office	3 years
Budget Formulation Records	University Budget Office	3 years
Funding Allocation Memos	University Budget Office	3 years*
Plans and Projections	University Budget Office; Schools or Divisions, as applicable	3 years*
Unit Budget Submissions	Originating Units	3 years
Year-End Budget Performance Review	University Budget Office	3 years*
<b>GIFTS AND ALUMNI DEVELOPMENT</b>		
Alumni Records	Development and Alumni Relations	Permanent*
Class Gifts	Development and Alumni Relations	Permanent*
Endowment MOUs and Financial Records	Treasury Management; Comptroller	Permanent*
Endowment Reports	Development and Alumni Relations	Permanent*
Gift Agreements	Development and Alumni Relations	Permanent*
Gift Records	Development and Alumni Relations	Permanent*
Planned Gifts	Development and Alumni Relations	Permanent*
<b>INSURANCE</b>		
Bodily Injury Claims	Risk Management	5 years after claim is adjudicated
Certificates of Insurance	Risk Management	1 year after completion of project; 10 years for construction projects
Employment-Related Claims	Risk Management	5 years after claim is adjudicated
Insurance Policies	Risk Management	Permanent*
OSHA records	Safety and Security	5 years following the calendar year in which the case is closed
Other Insurance Claims	Risk Management	3 years after claim is adjudicated
Workers' Compensation Claims	Risk Management	Permanent*

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<b>TAX</b>		
NRA Treaty Exemption Forms	Tax Department	5 years
Tax Returns	Tax Department	5 years
Work Papers Relating to Tax Returns	Tax Department/ Other Originating Offices	5 years
<b>GOVERNANCE</b>		
Board of Trustee Minutes	President's Office	Permanent*
Board Resolutions	President's Office	Permanent*
Bylaws	President's Office	Permanent*
Charter	President's Office	Permanent*
Faculty Senate Minutes	Faculty Senate	3 years*
Faculty Senate Resolutions	Faculty Senate	Permanent*
School Bylaws or Other Governance Documents	Originating School	Permanent*
School Governance Council or Committee Minutes	Originating School	3 years*
School Governance Resolutions	Originating School	Permanent*
<b>HEALTH AND SAFETY</b>		
Annual Crime Reports	GWPD	3 years from publication of report
Archived Campus Advisories	Office of Emergency Management	Archived advisories maintained online
Asbestos Records	Health and Safety	Life of ownership
Campus Advisories	Office of Emergency Management	Current advisories maintained online
Chemical Incident Records	Health and Safety	Life of ownership
Emergency Operations Plan	Office of Emergency Management	Current plan maintained online
Environmental Regulation Violations	Health and Safety (chemicals); Operations (oil)	5 years for oil violations; Life of ownership for chemical violations
Evaluation Drill Records	Safety and Security	5 years
Fire and Crime Logs	GWPD	3 years
Fume Hood Testing Records (Labs)	Health and Safety	Life of equipment



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Hazardous Waste Disposal Manifests and Reports	Health and Safety	3 years
Incident Reports	GWPD	5 years
OSHA Training Records	Health and Safety	End of employment
Radiation Dose Reports	Office of Laboratory Safety	Until NRC terminates license
Radioactive Materials License and Safety Committee Records	Office of Laboratory Safety	3 Years
Radiation Safety Training Records	Office of Laboratory Safety	Until Nuclear Regulatory Commission terminates license
<b>LEGAL</b>		
Agreements, Contracts, MOUs, Letters of Intent	Originating Office	5 years from expiration of contract, including any amendment or renewal
Litigation Records	Office of the Senior Vice President and General Counsel	20 years from final disposition or close of settlement obligations, whichever is later (or longer period if determined by attorney)
Nondisclosure and Confidentiality Agreements	Originating Office	5 years from expiration of contract
<b>PERSONNEL</b>		
<b>BENEFITS/EEO</b>		
Accommodation Records	Equal Employment Opportunity	3 years from making of record or personnel action, or final disposition of the charge or action, whichever is later
Affirmative Action Plan	Equal Employment Opportunity and Affirmative Action	3 years
Benefit Premium Payment Records	Benefits Administration	10 years after premium due date
Federal and State Required Statistics and Reports	Equal Employment Opportunity and Affirmative Action	Permanent*
FMLA Records	Benefits Administration	3 years after close of FMLA period, or 3 years after close of litigation, whichever is later
Formal and Informal Staff Grievances	Equal Employment Opportunity and Affirmative Action	3 years from final disposition, or close of litigation, whichever is later

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Summary Plan Descriptions and Related ERISA Plan Documents	Benefits Administration	Permanent*
<b>FACULTY</b>		
Faculty and Academic Appointee Personnel Files, including appointment letters and performance evaluations	Office of the Provost; University Archives; or SMHS or SPH, as applicable	5 years from conclusion of employment, or 3 years after the close of litigation, whichever is later
Faculty Code and Handbook	Office of the Provost	Permanent*
Faculty Grievances and Discipline	Office of the Provost	5 years from conclusion of employment, or 3 years from the close of litigation, whichever is later
Faculty I-9s	University Human Resources	3 years from hire, or 1 year from conclusion of employment, or 3 years after the close of litigation, whichever is later
Faculty Policies and Procedures, including school and department policies and procedures	Office of the Provost; Originating School	Permanent*
Faculty Search Committee and Recruitment Records	Office of the Provost; SMHS or SPH, as applicable	5 years from conclusion of employment for successful candidate; otherwise 3 years after completion of search
Tenure and Promotion Dossiers	Office of the Provost; SMHS or SPH, as applicable	Permanent for successful candidate; otherwise 3 years after denial of tenure/promotion, or 3 years after the close of litigation, whichever is later
<b>LABOR</b>		
Collective Bargaining Agreements	Office of the Senior Vice President and General Counsel	10 years from expiration of agreement
Negotiation Records	Human Resources	10 years from the expiration of applicable agreement
Union Grievances	Human Resources	10 years from close of grievance or resolution of matter, whichever is later
<b>PAYROLL</b>		
Form W-2s	Payroll Services	5 years



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Garnishment Records	Payroll Services	3 years from final deduction
Imputed Income	Payroll Services	5 years
Leave Reporting Records (Exempt)	Originating Office or Department	5 years
Leave Reporting Records (Non-Exempt)	Originating Office or Department (via Kronos)	5 years
Pay Stubs	Payroll Services	5 years
Payroll Adjustments and Deduction Authorizations	Payroll Services	5 years from date authorization was terminated, or for effort on federally funded projects, 3 years from the final report, whichever is longer
Payroll Records	Payroll Services	5 years from conclusion of employment, or for effort on federally funded projects, 3 years from the final report, whichever is longer
Payroll Tax Returns	Payroll Services	5 years
Payroll Unemployment Tax Payments	Payroll Services	5 years
Tax Withholding Authorizations	Payroll Services	5 years from expiration
Time Sheets	Payroll Services	5 years, or for effort on federally funded projects, 3 years from the final report, whichever is longer
<b>STAFF</b>		
Search Committee Records	University Human Resources; Originating Department/Office	3 years
Staff I-9s	University Human Resources	3 years from hire, or 1 year from conclusion of employment, or 3 years after the close of litigation, whichever is later
Staff Personnel Files, including appointment letters, contracts, and performance evaluations	University Human Resources	5 years from conclusion of employment, or 3 years after the close of litigation, whichever is later
Staff Policies and Procedures	University Human Resources	Permanent*
<b>RESEARCH AND INTELLECTUAL PROPERTY</b>		
Invention Assignment Agreements	Office of Technology Transfer	Permanent
Animal Welfare Records	Animal Research Facility	3 years from completion of project

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Biosafety Committee Records	Office of Research Integrity and Compliance	3 years; biosafety record retentions vary*
Effort Certifications	Comptroller	5 full fiscal years, or 3 years after from final report, whichever is longer
Export Control Records	Office of Research Integrity and Compliance	5 years from the date of export, or 3 years from completion of project, whichever is longer
Grant and Contract Awards, Agreements (including proposals)	Sponsored Project Administration	5 years from final report, or for period specified by sponsor, whichever is longer*
Grant and Contract Proposals and Applications (unfunded)	Sponsored Project Administration	3 years from submission*
Indirect Cost Rate Calculations	Comptroller	5 years from expiration of agreement
Institutional Review Board Records	Office of Human Research	3 years after completion of project, or for studies involving minors, until the subject reaches 18 years of age, whichever is longer
Invention Disclosure Forms	Office of Technology Transfer	Permanent*
Invention Licensing Agreements	Office of Technology Transfer	Permanent*
Patent Application Correspondence	Office of Technology Transfer	Permanent*
Patent Application Filings	Office of Technology Transfer	Permanent*
Registered Trademark Certificates	Office of General Counsel	Permanent*
Research Misconduct Records	Office of the Vice President for Research	10 years after completion of the proceeding, or the completion of any, PHS proceeding involving the research misconduct, whichever is later
Royalty Records	Office of Technology Transfer	Life of technology plus 5 years
USPTO Assignment Forms	Office of Technology Transfer	Permanent*
<b>STUDENT</b>		
Academic Advising Records	Originating School	3 years after graduation
Academic Integrity Code Violations	Academic Integrity	5 years from graduation, or for the duration specified in the sanction, whichever is longer

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Academic Petitions	Originating School	5 years from date of petition
Certification Requests	Registrar	1 year after request
Degree Audit Records	Registrar	5 years after graduation
GME/Resident Records	Originating School	Permanent*
Grade Book (faculty)	Academic Technologies (i.e., Blackboard); Individual Instructor	5 years after course completion
Grade Change Forms	Registrar	Permanent*
Graded Student Course Work	Academic Technologies (i.e., Blackboard), Individual Instructor; Academic Department	1 year from completion of the course, through deadline for grade change, or until expiration of time period required for accreditation, whichever is later
Major/Minor Declarations/ Changes	Originating School	5 years after graduation
Personal Data Change Request	Registrar	1 year after graduation
Student Academic Actions, including leave of absences, withdrawals, and dismissals	Registrar; SMHS or SPH, as applicable	Permanent*
Student Academic Discipline (e.g., dropping below GPA, hours)	Originating School	5 years from graduation, or for the duration specified in the sanction, whichever is longer
Student Judicial Proceedings and Sanctions	Office of Student Rights and Responsibilities	5 years from graduation, or for the duration specified in the sanction, whichever is longer
Student Name Change Requests	Registrar	5 years after graduation
Student Transcript, including grades and degrees awarded	Registrar	Permanent*
Thesis/ Dissertation	Originating School; Libraries (i.e., ProQuest for electronic theses/ dissertations)	Permanent*
Transcript Requests	Registrar	1 year after request
<b>ADMISSIONS</b>		
Applications for Students who do not Enroll	Admissions; Originating School	3 years from start of application term for which they applied
Applications for Students who Enroll	Admissions; Originating School	5 years from date of last attendance

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International Student Forms	International Services Office	5 years from last attendance, or 3 years for students who do not enroll
Transfer Credit Evaluations	Admissions; Originating School; Registrar	5 years from last attendance
<b>ATHLETICS</b>		
Activity Waivers	Athletics and Recreation	5 years from the date of student's graduation date
Athletic Scholarship Records	Athletics and Recreation	5 years from creation
Game Statistics	Athletics and Recreation	Permanent*
Individual Player Statistics	Athletics and Recreation	Permanent*
Insurance Records	Athletics and Recreation	5 years from the date of student's graduation date
NCAA Eligibility Certifications	Athletics and Recreation	5 years from creation of records
Recruiting Records	Athletics and Recreation	5 years from creation of record
Student Athlete Academic Advising Records	Athletics and Recreation	5 years from last enrollment date
<b>FINANCIAL AID</b>		
Financial Aid Requests	Student Financial Assistance	5 years after loan repayment
Scholarship and Fellowship Awards, including award letters and supporting documents	Student Financial Assistance; Originating School	5 years from date of last attendance
Student Loan Records	Student Financial Assistance	3 years after end of award year
<b>HOUSING</b>		
Housing Assignments	GW Housing	5 years after residency concludes
Meal Plan Enrollments	GW Housing	1 year after residency contract concludes
Room Inventory and Inspection Reports	GW Housing	1 year after residency contract concludes
Student Housing Agreements	GW Housing	5 years after residency contract concludes

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<b>STUDENT HEALTH SERVICES</b>		
Immunization Records	Student Health Service	3 years from date of last attendance
Mental Health Records	Student Health Service	3 years from date of last attendance
Medical Records	Student Health Service	3 years after last patient contact, or for minors, 3 years after minor reaches age of majority
<b>UNIVERSITY COUNSELING CENTER</b>		
Student Counseling Records	University Counseling Center	10 years from date of last attendance
<b>VETERANS AFFAIRS</b>		
Veteran Eligibility Documents	Office of Military and Veteran Student Services	3 years from last enrollment date
Veteran Financial Aid Eligibility	Office of Military and Veteran Student Services	3 years from last enrollment date

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