Wright State University
RECORDS RETENTION SCHEDULE (RRS)

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Addition	
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Instructions: This form establishes a schedule of retention and disposal for the listed records series, based on procedures provided by Section 149.333 of the Ohio Revised Code. Offices are required to submit a Certificate of Records Disposal (CRD) to the University Records Manager prior to the disposal of records listed on their retention schedule, as per Wright State Policy 12220. This schedule shall become effective on the last date approved. Obtain approvals and return to the University Records Manager, Special Collections and Archives, 401 Dunbar Library. For assistance, please call ext. 2017, or write to chris.wydman@wright.edu.

Originating Office/Department Code: Financial Aid — **FNAD**

Division: Enrollment Management

<u>Approvals</u>   Date:

Dean/Director/Head:

Department Chairperson/Manager:

University Records Manager:

Head, Special Collections and Archives:

[1]**Medium code:** P=Paper, M=Microfilm/Fiche, E=Machine Readable
[2]**Value code:** C=Confidential, H=Historical, R=Restricted, V=Vital
[3]**Description:** A separate retention period is required for each medium in the same records series.

WSU Records Series Number	Medium Code[1]	Value Code[2]	Records Series Title and Description[5]	IUC Number	Retention Period
Administrative Records					

(Administrative Records header spans table)

WSU Records Series Number	Medium Code[1]	Value Code[2]	Records Series Title and Description[5]	IUC Number	Retention Period
Administrative Records					
FNAD07-01	P/E	V	**Program Records [34 CFR 668.24]** Program records may include: ♦ Program Participation Agreements ♦ Application portions of the FISAP ♦ State agency reports ♦ Audit and program review reports ♦ Self-evaluation reports *Note: Accrediting and licensing agency reviews, approvals, and reports are not stored by the Office of Financial Aid.*	LEG2000 IUC-LEG-00-01	Retain for the current fiscal year plus five and then review for continuing administrative or historical value.
FNAD07-02	P/E	C	**Personnel Files** Staff personnel files. Files can contain position descriptions, applications, letters of appointment or change, personnel data, notice of salary rate, annual contracts, performance evaluations, PERS forms, previous state service forms, reclassification notices, letters of commendation or reprimand, publications, evidence of continuing education, transfers, leave of absence requests, payroll forms, vacation and sick leave reports, resignations, termination notices. Note: *Long-term information is held by Human Resources.*	PER3000 IUC-HR-40-21	Retain while active plus six years, then destroy. If subject to pending legal action, retain until final disposition.

Note: Longer term storage may include, but not be restricted to, archives, an institutional records storage center, and conversion to digital formats and/or microfilm or other acceptable mass storage media (per Sec. 9.01 of the Ohio Revised Code).

* Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.
7/14/23

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Administrative Records					
FNAD07-03	P/E	C	**Personnel Files-Employee Selection** Vitae, letters, and records of individuals who have applied for staff positions in the Office of Financial Aid. Also includes search committee records.	PER2000 IUC-HR-40-04	Retain for three years and then destroy.
FNAD07-04	P/E	H	**Policies and Procedures** Records that outline standard departmental operating procedures. May include policies/procedures manuals and process workflows	ADM3000 IUC-ADM-00-05	Retain while active plus ten years. Transfer one dated copy of each procedures manual version to the University Archives for permanent retention.
FNAD07-05	P/E	H	**Publications** Publications produced by the department describing its services and special events may include: ♦ Brochures ♦ Flyers ♦ Newsletters	PUB3000 IUC-PUB-00-05	Retain in the office for three years. Transfer a sampling of publications each year to the University Archives.
FNAD10-06	P/E		**Fiscal Records [34 CFR 668.24]** Fiscal records include annual departmental reports and those with statistical data. Fiscal records may include: ♦ FISAP and supporting data ♦ Pell Grant Statements of Accounts ♦ State grant and scholarship award rosters and reports ♦ Records used to prepare the *Income Grid* on the FISAP *Note: Documentation supporting the school's calculation of its completion or graduation rates and transfer-out rates are stored by the Office of Institutional Research. Bank statements, account ledgers, and records of student accounts are stored by the Office of the Bursar/Student Loan Collections. Federal Work-Study payroll records are stored by the Office of Human Resources. GAPS cash requests and monthly reports are stored by the Office of Research and Sponsored Programs. Audit reports and school responses are stored in the Office of the Controller.*	ADM9910 IUC-ADM-00-01	Retain for the fiscal year in which the report was submitted plus three and then transfer one copy of each report to the University Archives.
FNAD07-07	P/E		**Director's Subject Files** Director's files on the development of the department may include: ♦ Correspondence ♦ Memoranda ♦ Reports ♦ Minutes ♦ Policy and informational files ♦ Historical information	ADM9910 IUC-ADM-00-01	Retain in the office for three years and then review for continuing administrative or historical value.

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WSU Records Series Number	Medium Code[1]	Value Code[2]	Records Series Title and Description[3]	IUC Number	Retention Period
			Student Financial Aid Records		
FNAD10-08	E		**Banner Financial Aid Module (BFAM) and Financial Aid Resources (FAR)** Financial Aid applicant data is tracked in the BFAM system (starting with the FY07 aid year) and the FAR system (FY82 through FY06 aid years). [Applicant data relating to FSA program funds are also stored in the Banner Admissions, Student, and Account Receivable Modules (starting with the FY07 aid year), and the Student Information System (SIS) and Bursar Account Receivable (BAR) systems (FY82 through FY06 aid years).] Aid applicants must annually file a Free Application for Federal Student Aid (FAFSA) with the U.S. Department of Education who will forward the applicant's FAFSA data to WSU by applicant request. Once an applicant has satisfied all necessary requirements, an automated packaging process awards financial aid based upon a complex set of rules. Data stored in the BFAM and FAR systems may include: ◆ SAR or ISIR data ◆ Professional judgment/appeal status codes ◆ C-Flag (C-Code)/conflicting information codes ◆ Financial aid history information for transfer students ◆ SAP status codes ◆ Verification codes ◆ Cost of attendance ◆ Data relating to each student's or parent borrower's receipt of FSA program funds ◆ Loan certification data	EDU2000 IUC-EDU-20-03	Systems are backed up on a nightly and weekly basis. When obsolete, data and program are rolled off to tape and archived (electronically) indefinitely. **This series is maintained by the Information Systems unit of the Computing and Tele-communications office (CaTS).**
FNAD07-09	P/E	V/C	**Financial Aid Applicant Records [34 CFR 668.24 and 2016-2017 FSA Handbook Vol. 2, Ch.7]** In addition to data listed in FNAD02-08, financial aid applicant files may include: ◆ Professional judgment/appeal documentation ◆ C-Flag (C-Code)/conflicting information documentation ◆ Verification worksheets and income documentation ◆ SAP letters *Note: Perkins and Campus-Based Loan documentation is administered and stored by the Office of the Bursar/Student Loan Collections.*	EDU2000 IUC-EDU-20-03	Retain for the current fiscal year plus three and then destroy*.
FNAD07-10	P/E	V/C	**FFEL Borrower Records [34 CFR 668.24 and 2016-2017 FSA Handbook Vol. 2, Ch.7]** In addition to data listed in FNAD02-08 and FNAD02-09, FFEL borrower files may include: ◆ Student Award Notice ◆ Loan Request Form ◆ Parent Information and Acceptance Form for Federal PLUS Loan Processing	EDU1000 IUC-EDU-35-02	Retain indefinitely.

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WSU Records Series Number	Medium Code¹	Value Code²	Records Series Title and Description³	IUC Number	Retention Period
			Student Scholarship Records		
FNAD10-11	E		**Banner Financial Aid Module (BFAM) and Financial Aid Resources (FAR)** Institutional scholarship applicant data and external scholarship recipient data are tracked in the BFAM system (starting with the FY07 aid year) and the FAR system (FY82 through FY06 aid years). [Applicant data relating to scholarship funds are also stored in the Banner Admissions, Student, and Account Receivable Modules (starting with the FY07 aid year), and the Student Information System (SIS) and Bursar Account Receivable (BAR) systems (FY82 through FY06 aid years).] Data stored in the BFAM and FAR systems may include: ♦ Scholarship and scholarship tracking codes ♦ Professional judgment/appeal status codes ♦ SAP status codes ♦ Data relating to each student's receipt of scholarship funds	EDU2000 IUC-EDU-20-03	Systems are backed up on a nightly and weekly basis. When obsolete, data and program are rolled off to tape and archived (electronically) indefinitely. **This series is maintained by the Information Systems unit of the Computing and Tele-communications office (CaTS).**
FNAD07-12	P/E	V/C	**Institutional Scholarship Applicant Records** In addition to data listed in FNAD07-11, institutional scholarship applicant files may include: ♦ Scholarship application (annual applications include Honors/Competitive, Continuing, and Transfer) ♦ Professional judgment/appeal documentation ♦ High school/college transcripts ♦ SAP letters	EDU2000 IUC-EDU-20-03	Retain for the current fiscal year plus three and then destroy*.
FNAD07-13	P/E	V/C	**External Scholarship Recipient Records** In addition to data listed in FNAD02-11, external scholarship recipient files may include: ♦ Release of Information ♦ External scholarship receipt form ♦ Copy of scholarship checks (original checks forwarded to Office of the Bursar for deposit) ♦ Donor correspondence	EDU2000 IUC-EDU-20-03	Retain for the current fiscal year plus three and then destroy*.

Note: Longer term storage may include, but not be restricted to, archives, an institutional records storage center, and conversion to digital formats and/or microfilm or other acceptable mass storage media (per Sec. 9.01 of the Ohio Revised Code).

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