

KU Comptroller's Records Retention

SubGroup Assignment	Record Group	Description	Designated Office in Charge	Retention	Disposition	Comments
Financial	Accounts Payable Records	Documents related to the payment for goods and services: vouchers, correspondence, invoices, ledger books and cards, etc.	CASPUR	Current + 3 fiscal years	Destroy	imaging
Financial	Accounts Receivable Records	Documents related to the collection of payments due the agency: copies of invoices, correspondence, DA forms 32, etc.	Bursar	Current + 3 fiscal years	Destroy	
Financial	Adding Machine or Calculator Tapes	Master tapes produced by business machines during bookkeeping.	CASPUR	May be destroyed immediately unless required to document associated records-then retain in conjunction with those associated records.	Destroy	
Financial	Audit Reports	Results of audits conducted by Legislative Division of Post-Audit and other state and/or federal auditing agencies.	Internal Audit CASPUR	Current + 5 fiscal yrs	University Archives	Internal by Comptroller. External--Legis. Post Audit upon request
Financial	Authorized Signature Records	Cards and lists that record signature authorization for financial transactions.	CASPUR	Until no longer useful, then destroy.	Destroy	
Financial	Bank Billings	Bank Charges	Bursar's Office	Current + 3 fiscal years	Destroy	
Financial	Banking Records	Bank statements, deposit books and slips, check registers, and canceled checks.	Bursar, CASPUR	Current + 3 fiscal years	Destroy	
Financial	Batch Transmittal Forms	Completed forms used to transmit documents for mass computer input - includes both DA forms 199 and/or equivalent internal documents.	CASPUR	Retain in conjunction with transmitted documents.	Destroy	
Financial	Bid Records	Documents related to requests for proposals, bids, quotations, or estimates. Includes DA-100, DA 103 and DA-108.	CASPUR	Current + 5 fiscal yrs	Destroy	
Financial	Bond Files	Documents relating to new buildings and capital improvements projects financed through bonds.	Chancellor's Office	Permanent		
Financial	BRS Forms	EFT and FERPA	Bursar's Office	Indefinite	N/A	imaging
Financial	BRS Forms	TA/RA Deferments, Debit/Credit memos paper back-up, payment docs, daily receipts, daily summary reports, lockbox, E-checks and Credit cards	Bursar's Office	Current + 3 fiscal years	Destroy	
Financial	BRS Forms	Receipt Requests	Bursar's Office	Current + 1 fiscal year	Destroy	imaging
Financial	BRS Reports	BRS802,808,809,811,813,815,817,818,824,826,827,829,836,863, & 864	Bursar's Office	Current + 3 fiscal years	Destroy	
Financial	BRS Reports	BRS807	Bursar's Office	Indefinite	N/A	
Financial	Budget Preparation Files - Annual	Documents used in the preparation of annual agency budget: correspondence, draft budget requests, computer reports, notes, and other miscellaneous materials.		Current + 5 fiscal yrs		Contact the university archives for appraisal - if not accepted by the university archives then destroy.
Financial	Budget Requests and Appeals - Annual	Copies of budgets submitted yearly to the state legislature for approval and subsequent appeals: DA forms 400 thru 518 and associated supporting documents.		Current + 5 fiscal yrs	University Archives	
Financial	Business Procurement Card Documentation	Original statements, receipts, logs, etc. detailing the types of purchases made by an agency through the business procurement card procedure.	CASPUR	Current + 5 fiscal yrs	Destroy	
Financial	Cashiering	Login books for Dept Deposits, Cashier worksheets and departmental deposit slips	Bursar's Office	Current + 3 fiscal years	Destroy	
Financial	Cashiering	Image of deposits and checks deposited	Bursar's Office	Current + 3 fiscal years	Destroy	imaging
Financial	Collection Reports	BRS814 & 822	Bursar's Office	Current + 10 fiscal years	Destroy	

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Financial	Contracts	Legal agreements with individuals and organizations. Includes all associated documents, eg. DA-146 series.	CASPUR	Retain until expiration of contract plus 5 calendar years, then destroy. See also Purchasing Records, Vendor Files, Accounts Payable Records, Bid Records, and Vouchers and Requisitions.	Destroy	
Financial	Credit Cards	Charge card batch header tickets, charge card slips and credit card billings to departments	Bursar's Office	Current + 3 fiscal years	Destroy	
Financial	Deeds for Real Estate	Legal documents pertaining to the ownership of real property by state agencies.	Chancellor's Office	Retain permanently or transfer to the university archives.	Retain permanently or transfer to the university archives.	
Financial	Delegated Audit Authority Vouchers	Original payment vouchers specifying purchases made by an agency with delegated audit authority.	CASPUR	Current + 5 fiscal yrs	Destroy	imaging
Financial	Departmental Printing Requisition	Forms used by all departmental offices to order printing goods and services.		Current + 3 fiscal years	Destroy	
Financial	Equipment Maintenance and Ownership Records	Documents related to the legal ownership and maintenance of agency equipment: legal titles, warranties, maintenance logs, etc.		Retain for the life of the equipment, then transfer to new owner of equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records.	Retain for the life of the equipment, then transfer to new owner of equipment or destroy as appropriate. See also Equipment Operation Records and Vehicle Ownership and Maintenance Records.	
Financial	Fee Fund Files	Enrollment fees, refunds, estimates, receipts, and supporting documentation relating to fees collected on behalf of the university.		Current + 3 fiscal years	Destroy	
Financial	Financial Reports - Federal	Variety of financial statistics compiled for inclusion in federal reports.		Current + 5 fiscal yrs	Destroy	
Financial	Financial Reports - State	Variety of financial statistics compiled for inclusion in non-federal reports.		Permanent		
Financial	General Ledger	monthly transactions listings, journal vouchers and REC800	Bursar's Office	Current + 3 fiscal years	Destroy	
Financial	Grant Files	Variety of documents relating to applications for federal, state, and private grants and to the implementation of those received.	KUCR	Retain 5 years after the end of the grant period, transfer original applications, contracts, agreements, & annual and final performance reports to the university archives for purging, destroy remaining documents.	Retain 5 years after the end of the grant period, transfer original applications, contracts, agreements, & annual and final performance reports to the university archives for purging, destroy remaining documents.	
Financial	Grant Files - Unfunded	Applications and supporting documentation relating to federal, state, and private grants submitted by agencies which were not funded.	KUCR	Retain until no longer useful, then destroy.	Destroy	
Financial	HPSL, LDS and PERKINS	Assignments, CD for monthly reconciliation, cash receipt vouchers, ECSI documents and PIFs: HPSL, LDS and PERKINS A-Z	Bursar's Office	Current + 5 fiscal years	Destroy	imaging
Financial	Imprest Fund	Documents related to the administration and accounting of the imprest fund which allows an agency to use a local bank account as authorized by statute: DA form 152- "Checkbook Record-- Imprest Fund."	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Installment Plan	Correspondence Brochures	Bursar's Office	Current + 3 fiscal years	Destroy	

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Financial	Insurance Policies	Documents related to insurance policies.	CASPUR	Retain until expiration of policy plus 5 calendar years complete policy, then another 5 calendar years declarations page(s) only.	Destroy	
Financial	Inter-Agency Work Orders	Forms used to request and record the performance of services from another state agency.	CASPUR	Current fiscal year plus 001 fisc yr	Destroy	
Financial	Inventory Records - Expendable Property	Records of receipts, disbursements, and balances of office supplies and other expendable inventory materials.	Purchasing	Current + 3 fiscal years	Destroy	
Financial	Inventory Records - Federal	Federal excess property records and supporting documentation (form SF-122) maintained for inventory management purposes.		005 fisc yrs	Destroy	
Financial	Inventory Records - Non-Expendable Property	Records related to capital equipment inventory management: DA forms 80 thru 83, computer reports from Department of Administration, internal documents, correspondence, etc.	Property Acctg.	Retain until superseded by new inventory plus 3 fiscal years, then destroy.	Destroy	
Financial	Leases - Real Property and Capital Equipment	Documents related to the leasing of real estate and equipment.	CASPUR	Retain until superseded or inactive plus 5 calendar years, then destroy.	Destroy	
Financial	Ledgers - General	General records maintained by agencies of financial receipts and expenditures normally used to monitor, manage, and verify agency budget.	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Petty Cash Records	Documents related to petty cash accounting: DA-71 thru 73.	CASPUR	Current fiscal year plus 003 fisc yrs; Application kept until account is inactive	Destroy	
Financial	Photocopy Meter Reading Records	Forms completed listing the number of copies made, dates readings were taken, etc. relating to the leases on photocopy machines.	CASPUR	Current fiscal year plus 001 fisc yr	Destroy	
Financial	Policies	Old policies and procedures from former system	Bursar's Office	Indefinite	Destroy	
Financial	Prior Authorizations to Purchase	Documents related to sole source, off-contract, interagency and used equipment purchases.	CASPUR	Current + 5 fiscal yrs	Destroy	
Financial	Property Disposition Records - Non-Expendable	Copies of DA forms 110 and supporting documents used to remove capital equipment from agency inventory.	Property Acctg.	Current + 3 fiscal years	Destroy	imaging
Financial	Purchase Orders - Internal	Documents used by subordinate organizations to request purchases of goods and services through the agency central purchasing office. Relates to Office Supply and Furniture Stores.	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Purchasing Records	Documents related to the purchase of goods and services: correspondence, vouchers, invoices, ledger books and cards, requisitions, etc.	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Receipts Records - Cash	Records of cash received by the agency: receipt slips, receipt books, receipt ledgers, etc.		Current + 3 fiscal years	Destroy	
Financial	Refunds	Departmental requests for refunds and fee refunds	Bursar's Office	Current + 3 fiscal years	Destroy	
Financial	Scholarships	NRA Scholarships DA 35 NRA forms, Outside scholarship s copy of Checks/Documentation	Bursar's Office	Current + 5 fiscal yrs	Destroy	
Financial	Service Order Voucher	Inter-departmental payments for goods and services received	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Sponsorships	Paid invoices, Sponsor authorizations, Sponsor release forms	Bursar's Office	Current + 3 fiscal years	Destroy	imaging
Financial	Sponsorships	KS National Guard Documentation	Bursar's Office	Current + 5 fiscal yrs	Destroy	imaging
Financial	Sponsorships	Collections and Payments	Bursar's Office	Indefinite	N/A	imaging

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Financial	Sponsorships Reports	Over-sponsored students (Fee 838), Report Requests	Bursar's Office	Current + 3 fiscal years	Destroy	
Financial	Sponsorships Reports	BRS850, FAMS889, FEE842, BRS839, and FEE805	Bursar's Office	Current + 5 fiscal yrs	Destroy	
Financial	Sponsorships Reports	Subcode Extract Report, BRS835 (last report of each semester), Summary of Global Report (STD976), and report of BRS A/R charge and collected by Subcode (BRS838 last report of each semester)	Bursar's Office	10 + Current FY	Destroy	
Financial	STARS Reports: Daily Financial	Computer reports regarding agency financial status issued on a daily basis from the Division of Accounts and Reports to agencies in the Statewide Accounting and Reporting Systems.	CASPUR	Retain until no longer useful. Schedule does not apply to originals maintained at Accounts and Reports. Replaces the old CASK Reports. Includes: DAFR8010, DAFR8120, DAFR8210, DAFR8420, DAFR8101 etc.	Destroy	
Financial	STARS Reports: Monthly Financial	Computer reports regarding agency financial status issued on a monthly basis from the Division of Accounts and Reports to agencies in the Statewide Accounting and Reporting Systems.	CASPUR	Retain until no longer useful. Schedule does not apply to originals maintained at Accounts and Reports. Replaces the old CASK Reports. Includes: DAFR8010, DAFR8120, DAFR8210, DAFR8420, DAFR8101 etc.	Destroy	
Financial	STARS Reports: Yearly Financial	Computer reports regarding agency financial status issued on a yearly basis from the Division of Accounts and Reports to the Statewide Accounting and Reporting Systems.	CASPUR	Retain until no longer useful. Schedule does not apply to originals maintained at Accounts and Reports. Replaces the old CASK Reports. Includes: DAFR8010, DAFR8120, DAFR8210, DAFR8420, DAFR8101 etc.	Destroy	
Financial	Supply Requests - Internal	Documents used by subordinate organizations to order expendable supplies for central supply rooms. Relates to Office Supply and Furniture Stores.	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Telephone Billing Records	Copies of computer billings and supporting documents concerning the use of a telecommunications service provider.	NTS	Current + 3 fiscal years	Destroy	
Financial	Travel Request and Authorization Records	Records related to employee travel: DA forms 25 (Request for Out of State Travel) and various internal documents.	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Vehicle Maintenance and Ownership Records	Documents related to legal ownership and maintenance of agency vehicles: maintenance logs, legal titles, warranties, etc.	Facilities Operations	Retain for life of the vehicle, then transfer to subsequent owner or destroy as appropriate. See also Equipment Ownership and Maintenance Records.	Destroy	TITLES AND WARRANTIES ONLY BELONG WITH FINANCIAL GROUP
Financial	Vendor Files	Records concerning purchases from specific vendors: invoices, correspondence, vouchers, ledger books and cards, etc.	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Vouchers - Journal	DA forms 35 series used to adjust financial account balances.	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Vouchers - Purchase	Copies of documents used to order and pay for goods and services: DA forms 100 thru 109, and DA-120. Relates to Office Supply and Furniture Stores.	CASPUR	Current + 3 fiscal years	Destroy	imaging

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Financial	Vouchers - Receipts	Copies of documents used to transfer funds received by agencies from individuals and organizations into their particular accounts: forms DA-3 series.	CASPUR	Current + 3 fiscal years	Destroy	
Financial	Vouchers - Travel	Copies of documents used to certify the validity of claims for the reimbursement of travel expenses: DA forms 121, 122, and 123.	CASPUR	Current + 3 fiscal years	Destroy	imaging
Financial		Ford original promissory notes, Microfiche of original sigma accounts & promissory notes and original hard ledgers thru 12/95	Bursar's Office	Indefinite	N/A	
Human Resources	Accidental Injury Report	Report (form-1101-A) prepared following an accidental injury to staff, students or faculty.	Local Official is in Topeka	Retain 5 years after termination of employee or departure of student, then destroy.	Destroy	
Human Resources	Employee Evaluation Form	Form documenting an individual employee's work progress or problems.	HR/EO for USS & Dept or Provost Office for others	Retain 5 years after termination of employee, then destroy.	Destroy	Paper or Imaged
Human Resources	Employee Personnel Files - Official University File	Documents associated with the employment of specific personnel: employee evaluation forms, and other personnel materials including disciplinary letters, supporting federal, state and university documents. Documents associated with faculty and unclassified academic staff are kept in the employee's folder in the Provost Office, those documents include information pertaining to promotion and tenure, phased retirement, sabbatical and other leave requests.	65 years from termination of employment (Payroll & HR/EO, Provost Office)	Retain in office for length of employee's tenure plus 3 calendar years, then transfer to the records center or off-site storage 62 years, then destroy. Purge documents to create abstracted work history (appointment data and change of status information).	Destroy	Paper & Imaged -Payroll & HR/EO
Human Resources	Employee Personnel Files - Office Copies	Copies of documents in agency's Employee Personnel Files associated with employment of specific personnel (applications, evaluations, forms, etc.) maintained for convenience of reference.	Dept	Retain for length of employee's tenure plus 5 calendar years, then destroy. If the document needs to be retained longer, it should be placed in the Official University Employee Personnel Folder - which is retained by Payroll & HR/EO.	Destroy	
Human Resources	Employee Position Descriptions	Formal descriptions of duties and other characteristics of particular employment positions and supporting documents.	HR/EO Univ Support & Uncls Prof- Provost Fac & Acad Staff	Retain until superseded plus 3 years, then destroy.	Destroy	PeopleAdmin/Paper - USS/UPS
Human Resources	Employee Time Report Records - Departmental Files	Records documenting time worked by individual employees on a daily, weekly, or monthly basis: time sheets, time cards, attendance reports, absence reports, sign-in/out sheets, etc.	Dept	Current + 5 fiscal yrs	Destroy	
Human Resources	Employee Training Course Materials	Record copy of manuals, syllabi, textbooks and other training aids created for agency sponsored employee training programs.	Department that does the training	Retain until training program is obsolete, then transfer one copy of each manual, syllabus, and textbook to the university archives, destroy the remainder. See also Employee Training Records.	Destroy	
Human Resources	Employee Training Records	Correspondence, reports, and other records relating to the operation of agency sponsored training programs and to employee participation in training programs sponsored by external organizations.	Department that does the training	Retain 5 calendar years or until superseded, whichever is sooner, then destroy. See also Employee Training Course Materials.	Destroy	
Human Resources	Employee Tuition Assistance Files	Records documenting tuition assistance provided to employees.	HR/EO	001 cldr yr	Destroy	

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Human Resources	Employee Withholding Allowance Certificates	Internal Revenue Service W-4 forms completed by employees to establish rate of tax to be withheld from paychecks.	Payroll (employee file)	Retain in accordance with employee files	Destroy	Imaged: Part of Employee Personnel Files
Human Resources	Employment Applications - Not Hired	Application materials submitted by unsuccessful applicants for employment.	HR/EO & Dept. for Univ Support/Uncls Prof, Dept/Provost for Faculty/Academic Staff, Dept for Students	003 cldr yrs	Destroy	PeopleAdmin/Paper - USS/UPS
Human Resources	Employment Eligibility Verification Form	Immigration and Naturalization Service (INS) form/I-9 completed by employee verifying eligibility to work in the United States/ & Visa Docs	Payroll	Retain in accordance with employee files	See Comments	Part of Employee Personnel File
Human Resources	Equal Employment Opportunity Biannual Reports to Federal EEOC	Statistical reports compiled on occupational activities of the Higher Education staff. (GAAP)	HR/EO	003 cldr yrs	Destroy	
Human Resources	Equal Employment Opportunity Grievance Files	Documents related to discrimination charges concerning employment made against an agency and subsequent investigations.	HR/EO	Retain 5 years after grievance is settled, then transfer to the university archives.	University Archives	
Human Resources	Equal Employment Opportunity Plans	Documents related to agency compliance with laws and regulations concerning EEO/AA plans including the agency characteristic plan.	HR/EO	005 cldr yrs	University Archives	
Human Resources	Incident Reports	Records pertaining to complaints against employees alleging possible misconduct.	HR/EO & Provost(fac/academic staff)	Retain 5 years after last contact with employee, then destroy.	Destroy	Remain in dept if not re-occurring or severe.
Human Resources	Interface to SHARP	HR and Payroll Edit Reports	HR/EO & Payroll	Current + 3 fiscal years		
Human Resources	Leave Requests	Internal forms used to request and authorize the taking of leave by employees.	HR/EO & Dept /Provost	Current + 5 fiscal yrs	Destroy	
Human Resources	Local Agency Group Health Insurance List	List maintained of local agency employees enrolled in group health insurance.	N/A	002 cldr yrs	Destroy	State of Kansas maintains this list for all employees
Human Resources	Mailing Lists	Names and addresses of organizations and individuals with whom the university has regular contact. (HR/Pay Database is primary source)	HR/EO	Retain until superseded, then destroy.	Destroy	
Human Resources	Memoranda of Understanding or Agreement - Employment	Police, Maintenance, GTAs	HR/EO	Duration of Memorandum	University Archives	
Human Resources	Fair Labor Standards Act (FLSA) Records and Agreement)	University policy describing agreement to provide compensation for overtime worked, formal FLSA on-site review questionnaire, Agreement between an employee and his/her departmental supervisor University indicating the type of compensation to be received for overtime worked/Overtime Comp Form	HR/EO & Payroll	Retain in accordance with employee files	Destroy	Part of Employee Personnel File
Human Resources	Notification of Retirement	Document used to notify the department and supervisor of an intended retirement date.	N/A HR/EO does letter of verbal	Retain 2 years after termination of employee, then destroy.	Destroy	Format of notice varies.
Human Resources	Organizational Charts	Records documenting the agency's current organizational structure.	HR/EO	003 yrs	Destroy	
Human Resources	Payroll Adjustment Records	Copies of documents and supporting materials used to make adjustments in agency payroll accounts	Payroll	Current + 3 fiscal years	Destroy	
Human Resources	Payroll Deduction Authorization Records - General	Documents used to authorize various deductions from employee's pay: insurance enrollments, GHI enrollments, KPERS enrollments, KPERS Annual Account Statements, dues deduction forms, etc.	Payroll & HR/EO	Retain in accordance with employee files	Destroy	Imaged: Documents are kept in either the the Employee Personnel File or the Employee Benefits File
Human Resources	Payroll Direct Deposit Authorization Records	Completed forms used to authorize direct deposits of payroll checks in employee bank accounts.	Payroll	Retain in accordance with employee files	Destroy	Imaged: Included in Employee Personnel File

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Human Resources	Payroll Warrant Registers	listing of warrant checks issued to state agency employees for payroll purposes.	Payroll	Current + 5 fiscal yrs	Destroy	
Human Resources	Promotion and Tenure Files	Information gathered by the candidate to support tenure and promotion decisions.	Provost	007 cldr yrs after date of decision	Destroy	
Human Resources	Recruitment Files	Documents relating to the recruitment process to fill vacant positions	HR/EO(Univ Support/Uncl Prof & Unclss) Provost (Fac, Acad Staff), Dept (students)	004 cldr yrs	Destroy	PeopleAdmin/Paper - USS/UPS
Human Resources	Reorganization Studies	Records documenting actual and proposed agency organizational structure.	HR/EO	003 cldr yrs	Destroy	
Human Resources	Salary Increase Lists	List recording salary increases for classified and unclassified employees.	HR/EO & Budget Mgmt	Current + 3 fiscal years	Destroy	
Human Resources	SHaRP Reports	Computer reports concerning agency payroll issued on a periodic basis from the Division of Accounts and Reports to agencies in the Statewide Human Resources and Payroll Project.	N/A	Retain electronic or paper copy 3 fiscal years, then destroy. Does not apply to the Division of Accounts and Reports.	Destroy	
Human Resources	Supplemental Pay Files	Documents notifying employees of wages to be paid for shift differential, overtime, or leave without pay.	Payroll	005 fisc yrs	Destroy	
Human Resources	Training Files	Documents relating to staff training and development programs including requests for enrollment and publications describing training opportunities and resources available.	HR/EO & Depts	005 cldr yrs	Destroy	
Human Resources	Unclaimed Paychecks	Payroll warrant checks issued to staff or student employees which have not been claimed.	Payroll	1 year from issue date (outlawed)	Destroy	
Human Resources	University Awards	Employee of the Month/Year, Kemper, HOPE Award, Outstanding GTA etc...	HR/EO & Chancellor's Office			For those with compensation - part of the Employee Personnel File
Financial	Statements of Lost Warrants (Employee & Vendor)	Copies of DA form 6 used to request re-issues of lost warrants.	Payroll - paycheck others Comptrollers CASPUR	Current fiscal year plus 001 fisc yr	Destroy	