

UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Office Administration

Records Management & Archives
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RECORD SERIES (R.S) DESCRIPTION		R.S. Code	RETENTION (YR.) R.C		REMARKS	
			Off	Total	(Include start point of retention.)	
1	Academic advising records— student	1	2	7	9	After calendar year created
2	Academic/admission -student records: all admissions/academic progress records					
	a. Applicants who did not enter	1257	1	-	1	After calendar year created
	b. Applicants who entered – undergrad	10	5	4	9	After calendar year created
	c. Applicants who entered – graduate	237	8	2	10	After calendar year graduated or last date of attendance
3	Appointment calendars (office/individuals)	1247	1	0	1	After calendar year created
4	Certification records – student	225	P	P	P	Permanent
5	E-mail communications:					
	a. Records (including sender & receiver identification, time, & date sent & received and complete message) preserved & retained on an individual computer or server.		-	-	-	Retain for the same time as required for other forms of the same record series
	b. Records created with other software transmitted via email & maintained on a hard drive, disk, removable drives or server		-	-	-	Retain for the same time as required for other forms of the same record series
	c. Records (including sender and receiver identification, time, and date sent and received, and complete message) preserved and in that format.		-	-	-	Retain for the same time as required for other forms of the same record series
R.S. = Record Series, Off=Office, R.C.= Records Center, P= Permanent.						
Supersedes schedule dated 5/1/2009						

Office- Average time (years) record is kept in unit or department before transfer to records center. Transfer may occur earlier or later based on business needs but must occur before the end of retention period (hard-copy records only).

Records Center – Average time in (years) record is kept in records center before disposal or transfer to administrative archives.

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			Off	R.C.	Total	
	d. Records* sent as attachment to e-mail		-	-	-	Retain for the same time as required for other forms of the same record series
	e. Routine non-record communications					Retain until informational value has been served or a maximum of three Months
	f. E-mail data backups		1 mo	-	1mo	After date backup was run. Disaster recovery only- no email recovery
	g. Periodic printouts of e-mail directories and distribution lists		1	2	3	After updated or modified
6	Employee time and leave records (daily time sheets, leave documents)	301	1	9	10	After calendar year created
7	Examinations/grade books – student (excludes student’s answers to examination questions, homework, assignments course papers and essays)	70	1sem	-	1sem	Dispose after next full academic Semester
8	General correspondence (not related to A specific case or project):					
	a. Official copy (signed original or a copy of a signed original)	5	1	2	3	After fiscal year created or received review for archival value
	b. Final draft, paper or electronic media kept as a non-record convenience copy (see 15)	37	3mo	-	3mo	After official copy created
9	Grade appeals – student	256	3	2	5	After calendar year created
10	Graduate medical education training program – interviewed applicants – not selected	219	1	0	1	After fiscal year created
11	Logs:					
	a. Building entry logs	135	2	1	3	After fiscal year created
	b. Telephone messages, sign-in sheets etc.	136	1	-	1	After fiscal year created
						Supersedes schedule dated 5/1/2009

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			Off	R.C.	Total	
12	Medical resident/fellowship/internships – all related records	217	10	35	45	After fiscal year created
13	Medical school clerkships – all related records	218	10	35	45	After fiscal year created
14	Office internal administration records a. (work procedures, office assignments, work schedules, daily set-up schedules, daily operations check lists, etc.)	18	1	2	3	After revised or discontinued
	b. Progress/activity reports (except official agency annual reports) Including weekly or monthly reports to supervisors and management	39	3	-	3	After fiscal year created
15	Reference materials including duplicate files or documents, periodicals, catalogs published reports, etc.	122	-	-	-	After reference value has been served but no longer than 1 year.
16	Transitory material (including correspondence of limited reference value, letters, of transmittal, and informational bulletins		-	-	-	Discard when informational value served, but keep no longer than 1 year.
17	Voice mail back-up	53	1mo	-	1mo	After date backup is run
18	Working files:					
	a. Preliminary drafts that contain unique information such as substantive annotations or comments from unit approval/recommendations staff management that add proper understanding of the unit's formulation and execution of basic policies, decisions, actions or/and responsibilities.	54	2	3	5	File with project/program files. After fiscal year created. See no. 7 under University Management
	b. Working documents (originators notes, background information, etc. used in the development of final or summary records)	34	-	-	-	After completion of final record Note: All retention periods apply to paper and/or electronic media Records Supersedes schedule dated 5/1/2009


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UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Financial Records

Records Management & Archives
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Title		Signature	Approval Date:			REMARKS (Include start point of retention.)
Director, Richard G, King Jr.			12/7/10			
RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS	
		Office	Center	Total		
1. Budget -college, department, or unit approved and appropriated	299	1	2	3	After fiscal year approved.	
2. Budget- college, department, or unit requests: working files, spreadsheets calculations, etc.	1292	1	2	3	After fiscal year submitted	
3. Donor records	119	1	-	P	Transfer to University administrative archives	
4. Expense accounting records including department copies of all claims, warrant warrant registers, purchase orders, invoices, journal entries, etc. (Intended for Local Fund Units Only)	28	1	4	5	After fiscal year submitted	
5. Financial audit reports	909	1	4	5	After fiscal year of audit	
6. Financial records-(non grant/contract) departmental copies, eg., operational fund expenditures, IDB's, travel, property/equipment, FRS, payroll, telecommunication reports/billings. Original IDB's see #8. Original P-card records see #9.	2	-	-	2	After reference value served but no longer than 2 years. Official copies are managed by Financial Services office.	
7. Gift reports	1548	5	5	10	After fiscal year created	
8. Inter-departmental billings (Official Copy)	1089	1	9	10	After fiscal year created	
Note: all retention periods apply to paper and/or electronic media records						
Supersedes schedule dated:2/16/09						

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UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Financial Records

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RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
		Office	Record Center	Total	
9. Purchasing card "P-card" records including sales drafts, invoices, packing slips, authorizations lists/forms transaction logs (original records)	63	0	10	10	After fiscal year created, After July 1, 2006, send all records to Financial Service Office - compliance unit, paper records are then imaged by FSO records management. Per federal regulation, CFR 48 subpart 4.703(c), paper records are disposed of after one fiscal year of storage.
10. Revenue accounting records:	24	1	4	5	After fiscal year created
a. Cash register tapes, balance sheets, deposits, receipts, ledgers, reports, journal entries, etc. (Intended for Local Fund Units Only)					
b. Credit card receipts-sales of goods & services	234	2	0	2	After Month of creation
					Note: all retention periods apply to paper and/or electronic media records
					Supersedes schedule dated:2/16/09

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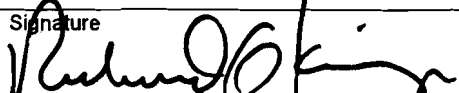
Records Center – Average time in (years) record is kept in records center before disposal or transfer to administrative archives.

UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE

University Management

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Director, Richard G, King Jr.			12/7/10			
RECORD SERIES (R.S.) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)	
		Office	Center	Total		
1 Annual reports of departments, colleges, administrative, or support units	1601	3	2	5	After fiscal year created. Transfer to University administrative archives for review. FY=Fiscal Year.	
2 Directives, policies or orders (official copy –including organization charts)	129	3	2	P	After FY created. Transfer to University administrative archives	
3 Governing boards/commissions, other decision-making bodies, consultants, task forces, venture teams or other related bodies' records						
a. Minutes	710	1	-	P	After FY created. Transfer to University administrative archives	
b. Agendas, notes, and correspondence	711	1	-	P	After FY created. Transfer to University administrative archives	
c. Final reports:						
i. No action resulting from report	164	1	4	5	After FY created. Transfer to University administrative archives	
ii. Action resulting in a project or Program	33	1	-	P	After FY created. Transfer to University administrative archives	
4 Grants and contracts:						
a. Financial records –departmental kept records for audit – exclusive of Financial Services Office (FSO) and Sponsored Projects Services	121	1	9	10	After FY of final expenditure report submitted or when funding agency requirements are met whichever is longer	
b. Human subject research: adults including separately filed consent forms, patient records, and other related records.	287	3	3	6	Per UA Policy & Processes -072 Effective 10/1/2010. Human Subject Protection Program	
Supersedes schedule 2/24/2009						

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UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE University Management

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	RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Record			
			Office	Center	Total	
4	c. Human subject research records, including separately filed consent forms, patient records, & other related records.	128	4	16	20	After FY research has ended. Applies only to existing records at the records center up to 10/1/10. Existing records that could not be identified as either 287 or 288 must use this series code.
	d. Human subject research: Children including separately filed consent forms, patient records, and other related records.	288	3	3	*	Per UA Policy & Procedure -072 Effective 10/1/2010. Human Subject Protection Program. Age of majority * (eighteen yrs old) plus six years.
	e. Human subject research – not begun. All approved protocols in which there was no subject enrollment or no research was conducted.	263	2	4	6	After FY of study expiration. Human Subject Protection Program.
	e. Standard research records (non-human subject related)	125	5	5	10	After research value is served. Must meet or exceed Requirements of granting agency
	f. Research records supporting patents	127	5	-	P	After FY created. Transfer to University administrative archives
5	Legislative records (including case records for proposed legislation)	1677	5	-	P	After FY created. Transfer to University administrative archives
	Performance/management audit reports	236	5	5	10	After FY created
6	Project/program records (program development records including decision/approval notes, policy, drafts, progress reports, and final reports of projects)	1151	5	-	P	After FY created. Transfer to University administrative archives
7	Research proposals	66	2	3	5	After FY created
<p>Note: all retention periods apply to paper and/or electronic media records.</p> <p>Supersedes schedule 2/24/2009</p>						

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RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
		Office	Center	Total	
8 Client records – health related public services to clients on an out patient basis other than Student Health Services:					
a. Adult client records: (eg., speech therapy, hearing testing, screening; cholesterol, skin cancer etc. Includes but is not limited to tests, goals & objectives; diagnostic reports; questionnaires, and related records, etc)	213	4	2	6	After calendar year of last date of contact
Note: File adult client records separate from those of minor client records.					
b. Minor client records under the age 18.	204	2	22	24	After calendar year patient reaches 24 years of age. § ARS 12-2297.
					Note: all retention periods apply to paper and/or electronic media records.
					Supersedes schedule 2/24/2009

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UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Personnel Management

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RECORD SERIES (R.S) DESCRIPTION		R.S. Code	RETENTION (Y/R.) Record			REMARKS
			Office	Center	Total	(Include start point of retention.)
1.	Accident prevention programs including lists of first aid trained personnel	64	5	-	5	After calendar program/employee terminates.
2.	Affirmative action cases including copies of records or any information held within a department not submitted as part of the original case file to affirmative action		1	2	3	After calendar year case closes.
3.	Employee medical and exposure records includes lists of hazardous materials exposed to, pre-employment physicals, results of examination, medical opinions, diagnoses, employee medical complaints, etc.	120	1	29	30	After calendar year of termination from state employment. 29 CFR 1910.2 (c) (11), These records must be filed separately from the employee personnel file. 5 CFR 293.502 (d), 5 CFR 293.503 (m).
4.	Employee personnel File (departmental/supervisor's office file)	68	6mos	-	6mos	After termination. Contact Human Resources before shredding records.
5.	Employee summary records: includes name, employment dates, job title, current & former employees. For reference value.	22	15	-	15	After calendar year of termination
6.	Employee training files including attendance lists, class outlines, etc.	84	1	2	3	After calendar training is given
7.	Employee tuition refund program records	83	1	2	3	After fiscal year refund is issued
8.	Faculty annual performance reviews- Includes all related records as mentioned in UA faculty hand book 3.10	273	6	2	8	After faculty member terminates - by calendar year. Kept in departments, unsatisfactory review can be appealed at college level
9.	Form I-9 (proof of legal residency in U.S.)	85	1	-	1	After employee terminates but not less than 3 years after date of hire. Dispose by calendar year.
						Supersedes Schedule -2/24/2009

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UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Personnel Management

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	RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Record			
			Office	Center	Total	
10.	Hiring records encompassing the hiring Process, recruitment and hiring authorizing, nominations, selection criteria, reference checks, interviews, candidate candidate presentations, and all related correspondence, includes volunteers etc.	30	1	2	3	After calendar year received or prepared. Hiring departments maintain all related records.
11.	Personnel records (Human Resources Only)	3	2	8	10	After calendar year of termination. Unit personnel records are not accepted for records management & archives storage.
12.	Promotion and tenure records – includes continuing status and promotion, clinical track college of medicine non-tenure eligible, dossiers, & extra reviews, etc	265	2	P	P	Provost office maintains official record. Kept in Provost Office for the first 2 year then transfer to Records Management & Archives. P=Permanent.
	Occupational safety and health records including accident reports; annual summaries	137	1	4	5	After calendar year reported (29 CFR 1952.4) [OSHA]
13.	Reduction in force records including computation documents and recap summaries	139	5	0	5	After fiscal year completed
14.	Requests for classification of new positions or reclassifications of existing positions	140	1	0	1	After fiscal year created
15.	Investigations of personnel matters - (may result in discipline, or civil or criminal action)	864	1	4	5	After fiscal year action taken or grievance is resolved (5 CFR 771) [OPM]
16.	Volunteer program records: i.e., hourly statistics, program publicity, insurance requirement information, inactive volunteer applications, conditions of service, training records, background checks, etc. Records are applicable at the unit level.	280	4	4	8	After calendar year created. Note: all retention periods apply to paper and/or records in electronic media.

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