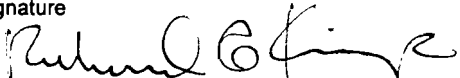


UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Office Administration

Records Management & Archives
250 E. Valencia Rd, Tucson, AZ. 85706
Phone: 520-889-5666 Fax: 520-889-5660
E-mail: rma@dakotacom.net
Website: <http://records.web.arizona.edu>

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Title Director, Richard G, King Jr.	Signature 
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1.	RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (/R.) Record			REMARKS
	Office	Center	Total	(Include start point of retention.)		
	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 and receiver identification, time, and date sent and received, and complete message) preserved and 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 and maintained on a hard drive, floppy disk or on a 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 form		-	-	-	Retain for the same time as required for other forms of the same record series
						Supersedes schedule dated 3/19/2009

Approval Date:
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.

UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Office Administration

PAGE 2 of 4

	RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Record			
			Office	Center	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	7	8	After calendar year created
7	Examinations/grade books – student (excludes student’s answers to examination questions, homework, assignments course papers and essays)	70	1 sem	-	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	1	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 15a)	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 3/19/2009

Approval Date:
5/1/2009

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UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Office Administration

RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
		Record			
		Office	Center	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 responsibilities.	54	2	3	5	File with project/program files. After fiscal year created. See no. 7 under University Management

Supersedes schedule dated 3/19/2009

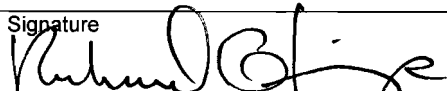
Approval Date:
5/1/2009

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UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE University Management

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Title Director, Richard G, King Jr.	Signature 
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1.	RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS
			Office	Record Center	Total	(Include start point of retention.)
	Annual reports of departments, colleges, administrative, or support units	1601	3	2	P	After fiscal year created. Transfer to University administrative archives
	Directives, policies or orders (official copy –including organization charts)	129	3	2	P	After fiscal year created. Transfer to University administrative archives
	Governing boards/commissions, other decision-making bodies, consultants, task forces, venture teams or other related bodies' records					
	a. Minutes	710	1	-	P	After fiscal year created. Transfer to University administrative archives
	b. Agendas, notes, and correspondence	711	1	-	P	After fiscal year created. Transfer to University administrative archives
	c. Final Reports:					
	i. No action resulting from report	164	1	-	P	After fiscal year created. Transfer to University administrative archives
	ii. Action resulting in a project or program	33	1	-	P	After fiscal year 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	4	5	After fiscal year of final expenditure report submitted or when funding agency requirements are met whichever is longer
	b. Human subject research records - including separately filed consent forms, patient records, and other related records.	128	4	16	20	After fiscal year research is Completed
	c. Human subject research – not begun	263	2	3	5	After fiscal year of study expiration. Human Subject Protection Program.

Approval Date: 2/24/2009

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.

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.)
		Office	Record Center	Total	
4. d. Standard Research Records (non-human subject related)	125	-	-	-	After research value is served. Retention period set by principle investigator. Must meet or exceed requirements of granting agency
e. Research records supporting patents	127	5	-	P	After fiscal year created. Transfer
5. Legislative records (including case Records for proposed legislation)	1677	5	-	P	After fiscal year created. Transfer to University administrative archives
6. Performance/management audit Reports	236	5	5	10	After fiscal year created
7. Project/program records (program development records including decision/ approval notes, policy, drafts, progress reports, and final reports of projects)	1151	5	-	P	After fiscal year created. Transfer to University administrative archives
8. Research proposals	66	2	3	5	After fiscal year created
9. Client records – health related public services to clients on an out patient basis other than Student Health Ser- vices: eg., speech therapy, hearing test ing, screening; cholesterol, skin cancer etc. Includes but is not limited to tests, goals & objectives; diagnostic reports; questionnaires, and related records, etc. Note: File adult client records separate from those of minor client records.					
a. Adult client records	213	4	2	6	After calendar year of last date of Contact
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 6/18/08

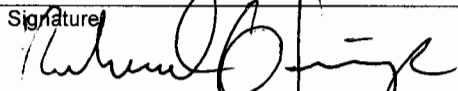
Approval Date:
2/24/2009

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UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Financial Records

Records Management & Archives
250 E. Valencia Rd, Tucson, AZ. 85706
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E-mail: rma@dakotacom.net
Website: <http://records.web.arizona.edu>

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Title Director, Richard G, King Jr.	Signature 
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1.	RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Record			
			Office	Center	Total	
	Budget -college, department, or unit approved and appropriated	299	1	2	3	After fiscal year approved.
	Budget- college, department, or unit requests: working files, spreadsheets calculations, etc.	1292	1	2	3	After fiscal year submitted
	Donor records	119	1	-	P	Transfer to University administrative archives
	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
	Financial audit reports	909	1	4	5	After fiscal year of audit
	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.
	Gift reports	1548	5	5	10	After fiscal year created
	Inter-departmental billings (Official Copy)	1089	1	7	8	After fiscal year created
	Purchasing card "P-card" records including sales drafts, invoices, packing slips, authorizations lists/forms transaction logs (original records)	63	1	7	8	After fiscal year created, After July 1, 2006, send all records to Financial Service Office - compliance unit.

Approval Date:
10/6/2008

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.

UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Financial Records

RECORD SERIES (R.S.)	DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Office	Record Center	Total	
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 good and services	234	6m	0	6m	After Month of creation
						<p>Note: all retention periods apply to paper and/or electronic media records</p> <p>m- month</p> <p>Supersedes schedule dated:6/18/08</p>


Approval Date:
10/6/2008

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.

UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Personnel Management

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Title Director, Richard G, King Jr.	Signature 
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1.	RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (Yr.)			REMARKS	
				Office	Record Center	Total	(Include start point of retention.)
	Accident prevention programs including lists of first aid trained personnel	64	5	-	5	After calendar program/employee terminates.	
	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.	
	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).	
	Employee personnel File (departmental/ supervisor's office file)	68	6mos	-	6mos	After termination. Contact Human Resources before shredding records.	
	Employee summary records: includes name, employment dates, job title, current & former employees. For reference value.	22	15	-	15	After calendar year of termination	
	Employee training files including attendance lists, class outlines, etc.	84	1	2	3	After calendar training is given	
	Employee tuition refund program records	83	1	2	3	After fiscal year refund is issued	
	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	
	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.	

Approval Date:
10/27/2009

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

UNIVERSITY OF ARIZONA COMMON RECORDS RETENTION AND DISPOSITION SCHEDULE Personnel Management

	RECORD SERIES (R.S) DESCRIPTION	R.S. Code	RETENTION (YR.)			REMARKS (Include start point of retention.)
			Office	Record 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	6	8	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	3	4	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. Supersedes schedule dated:9/15/2009

Approval Date:
10/27/2009

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