

Record Retention - Administrative	
Schedule	Description
Schedule A	Administration
Schedule B	Human Resources
Schedule C	Finance and Administration
Schedule D	Student Services
Schedule E	Provost Office
Schedule F	University Police
Schedule G	Sponsored Programs
Schedule H	Athletics
Abbreviations	
RPeriod	Recommended Retention Period

	A	B	C	D	E
1	Schedule Description	Schedule A: Administrative Record Retention Guidelines			
2					
3	Record Series Title	Description	Requirements	RPeriod	Notes
4	President's Office				
5	Board Agendas		Administrative	Indefinitely	
6	Board of Trustees Information		Administrative	Indefinitely	
7	Board Minutes		Administrative	Indefinitely	
8	Presidential Searches/Applications	Job Search for University President	Administrative	Indefinitely	Past searches located in Pres Office Archives
9					
10	General Counsel				
11	Contracts - Miscellaneous	Miscellaneous Contracts	Administrative	Active + 2 Years	All Offices
12	Committee Files		Administrative	Active + 2 Years	All Offices
13	Appraisals - Property	Property	Administrative	5 Years	VP for Fin & Admin
14	Capital Lease Files - Record of Purchases	Record of Lease Purchases	Administrative	Indefinitely	VP for Fin & Admin
15	Legal Abstracts	Abstracts	State	Indefinitely	VP for Fin & Admin
16	Misc. Property Records	Various Records on Property	Administrative	Disposal	VP for Fin & Admin
17	Property, Possible Purchase Ideas		Administrative	Active + 2 Years	VP for Fin & Admin; General Counsel
18	Property Closings - Deeds & Abstracts	Deeds & Abstracts	Administrative	Indefinitely	VP for Fin & Admin
19	Freedom of Information Files	Files & Materials	State	Active + 2 Years	VP for Univ & Gov Relations; Gen Counsel
20	Contracts (Construction) - Doc Routing/Approval	Document Routing/Approval	Administrative	5 Years	Purchasing; General Counsel
21	Lawsuit	Legal File	State	5 Years after final disposition	Keep indefinitely if records have historical value
22	Patent Materials	Information	Administrative	Indefinitely	
23					
24	Internal Audit				
25	Audit (Internal)	Audit	State	Indefinitely	
26	Legislative Audit Report	Report	Administrative	5 Years	

Schedule Description	Schedule B: Human Resources Record Retention Guidelines			
Record Series Title	Description	Requirements	RPeriod	Notes
Employee Records				
A-8 Form	Employers 1st report of Injury	Federal & State	7 years after settlement	
A-15 Form	Employer's Support Rpt of Injury	Federal & State	7 years after settlement	
A-29 Form	Employee Accident Notice	Federal & State	7 years after settlement	
A-32 Form	Employee's Notice of Injury Rept	Federal & State	7 years after settlement	
Statement of Injury Report	Employee's Rpt of Injury	Federal & State	7 years after settlement	
COBRA	Record of Cobra Notification	Administrative	7 years after coverage expiration	
Disability Insurance	Appl for Disability Payment	Administrative	7 years after expiration	
Employee Enrollment	Medical & Life Insurance	Administrative	7 years after termination	
Inactive Employee Benefits Files	Copies of Beneficiaries, etc.	Federal	Final Audit + 7 years	
Medical Bills	Assorted from Vendors	Administrative	Final Audit + 7 years	
Premium Payment	Carrier Files	Administrative	Final Audit + 7 years	
Job Advertisements/Opening/Postings	Employment	Federal	1 year	
Applicant Records/Resume/Application	Employment	Federal	3 years from date of rejection	
Equal Employment Data Form (page 4 of UCA Application)	Affirmative Action Form	Federal	3 years from date of personnel action	Depending on document, ask legal counsel before destroying
FMLA Records	FMLA	Federal	3 years	
Concurrent Employment	Two-State Jobs Concurrent	Administrative	2 years	
Crossgrade/Downgrade Req	Position Substitution Form	Administrative	2 years	
Career Service Recog Pymt	CSRP	State	5 years	
Employee Performance Evaluation	Evaluation	Federal	3 years	
Exceptionally Well Qualified	Exception to Max Qualification	Administrative	2 years	
Employee Complaints	Employee Complaint Records	Administrative	7 Years after termination of employee who filed complaint and any employee who was subject of the complaint	
I-9 Form	Employment Certification	Federal	3 years after date of hire or 1 year after termination	
Leave Reports/Records	Time Sheets/Leave Slips	State	Final Audit +7 years	
Personnel Files	All Employees	Administrative	Active + 7 years	
Position Class Questionnaire	Job Description Survey	State	2 years	
Position Review Request	Reclass or New Position	Administrative	7 years	
Presidential Searches/Applications	Job Search for University President	Administrative	Indefinitely	Past searches located in Pres Office Archives &/or HR
Medical Records	Employee Medical	Federal	3 years	
Provisional Request	Soft Funded Position	State	2 years	
Retirement Reporting	Retirement Plans	Administrative	6 years	

Schedule Description	Schedule B: Human Resources Record Retention Guidelines			
Record Series Title	Description	Requirements	RPeriod	Notes
TIAA-CREF Plan Document	TIAA-CREF	Administrative	Indefinitely	
Payroll Records				
Garnishment/Child Support Orders/Tax Levy	Garnishment/Child Support	Federal	7 years	
Direct Deposit Records	Authorization to Deposit	Administrative	7 years after termination	
Employee Verification	Written Employment Verification	Administrative	Final Audit +7 years	
Hourly Payroll	Time sheets & Memos	Federal	Final Audit +7 years	
Overtime Records	Overtime Pay Sheets, Memos	Federal	Final Audit + 7 years	
Payroll PAF	PAF with Payroll Info	Administrative	7 years	
Title Code Recap	Employee by Title	Federal	Final Audit +7 years	
Vouchers/Auditor reports/Internal reports	Pay Records Produced /Payroll	Federal	Final Audit +7 years	
W-4's, W-5's	Employee Original W-4's	Federal	Termination + 7 years	
Risk Management Records				
Injury Report (Employee)	Employee Report	Administrative	30 years	
Insurance	Ins Change Documents	Other	Final Audit + 7 years	
Medical Bills	Assorted from Vendors	Administrative	30 years	
Physicians Report	Doctors Reports	Federal & State	30 years	
Tax Records				
State Tax Deposits	Tax Reports	State	4 years	
W-2 copies and Returned W-2s	Undeliverable W-2 forms	Federal (Circular E)	4 years	
Tax Reports (941)	941/W Supporting Documents	Federal (Circular E)	4 years	

Schedule Description	Schedule C: Finance and Administration Record Retention Guidelines		
Record Series Title	Requirements	Rperiod	Notes
Budget			
Financial Reports	State	5 years	ADHE
Financial Reports	Federal	5 years	IPEDS
Financial Reports	Federal	5 years	EADA Survey
Budget Transfers	Admin. Decision	5 years	Department Files
Budget Copies of PAFs	Admin. Decision	5 years	Department Files
Unexpended Plant Files	State	Final Audit + 5 years	Department Files
NCAA Report	Admin. Decision	5 years	Department Files
Grants and Contracts Accounting			
Grants and Contracts Accounting	State/ Federal	5 years	Grant Folders
SEFA Report	State	5 years	Restricted Portion of SEFA
NSF Survey	Federal	5 years	Excel Spreadsheet
Federal Drawdowns	Federal	5 years	Grant Folders
State/Federal Reporting for Restricted Funds	State/ Federal	5 years	Grant Folders
Financial Accounting			
Accounts Payable Voucher & Invoices	State	Final Audit + 5 years	
Accounting Report	State	Final Audit + 5 years	
Bank Reconciliation	State	Final Audit + 5 years	
Bond Files - Records of Debt Payment	State	Final Audit + 5 years	
Bond Issues - Active and Closed	State	Indefinitely	
Financial Reports - Accounting Docs & Fiscal Year	State	Final Audit + 5 years	
IDB File - Interdepartmental Billing	State	Indefinitely	Electronic
IDB File - IDB Form with Daily Mail Charges	State	Indefinitely	Electronic
Invoices	State	Indefinitely	Electronic
Journal Vouchers - GJIM/Accounting Entry Documents	State	3 years	
Miscellaneous Records	State	Final Audit + 5 years	
Funds Transfer - Interdepartmental Monthly/Annually	State	Augit + 5 years until on FUPLOAD	
Student Accounts			
Check Registers	State (for audit)	5 years	
Cashier Receipts	State (for audit)	5 years	

Schedule Description	Schedule C: Finance and Administration Record Retention Guidelines		
Record Series Title	Requirements	Rperiod	Notes
Returned Checks	State (for audit)	5 years	
Voided Checks	State (for audit)	5 years	
Daily Cashiering Balancing	State (for audit)	5 years	
Mail Logs	State (for audit)	5 years	
Scholarship Letters Sent and Scholarship Checks Received	State (for audit)	5 years	
Stop Payment Requests	State (for audit)	5 years	
Manual Book Vouchers	State (for audit); Mgmt (for contested info)	5 years	
Emergency Aid Requests	State (for audit); Mgmt (for contested info)	5 years	
Manual Student Account Adjustments	State (for audit)	5 years	
Direct Deposit Change Forms	State (for audit); Mgmt (for contested info)	5 years	
Payment Plan Agreements	State (for audit); Mgmt (for contested info)	5 years or Payoff	
Reinstatement Agreements (after drop for non-payment)	State (for audit); Mgmt (for contested info)	5 years	
Contractual Authorizations, Invoices, and Related Documentation (Several Types)	State (for audit)	5 years	
Annual Military Reports	State (for audit)	5 years	
Account Reconciliations	State (for audit)	5 years	
Debt Set Off Documentation	State (for audit); Mgmt (for contested info)	5 years	
Administrative Withdrawal and Financial Adjustment Appeals	State (for audit); Mgmt (for contested info)	5 years	
Returned 1098-T s	Federal	7 years	
International Tax Documentation	Federal	7 years	
Perkins Loan FISAP Documentation	Federal	7 years	
Perkins/Nursing Loan Promissory Notes, Entrance and Exit Counseling Documents, Disclosure Statements, Due Diligence Documents and Related Information	Federal	Paid in Full + 3 years	Students have 10 years after leaving the university to pay off their loan/promissory notes, therefore, records may be kept for 13 to 20 years
Nursing Loan Annual Report	Federal	7 years	
Inventory Reports	State (for audit)	5 years	

Schedule Description	Schedule C: Finance and Administration Record Retention Guidelines		
Record Series Title	Requirements	Rperiod	Notes
Purchasing			
Purchase Requisitions, Authorizations, Encumbrances and Purchase Orders	State	3 Fiscal years	
Purchase Orders	State	3 Fiscal years	Hard Copy currently used as backup to the Electronic File
Contracts/Agreements & PCS Contracts	State	5 years	5 years after contract or agreement termination
Competitive Bids	State	5 years	
Inventory			
Inventory and Capital Assest	State	Indefinitely	
Physical Plant			
Invoices - Telephone Services	Administrative	Active + 1 year	online
Add/Changes - Telephone Services	Administrative	1 year	online & paper
Moves - Telephone Services	Administrative	5 years	online
Trouble Reports - Telephone Services	Administrative	1 year	
Equipment Inventory - Phone sets - Telephone Services	State	Indefinitely	Electronic
Switch Peripheral Equip Inventory - Telephone Serv	State	Indefinitely	
Invoices - offices, plant, bldg maint, public bldgs	Administrative	1 year	online
Inventory Methods	Administrative	Active + 1 year	
M.S.D.S	Federal	Indefinitely	online
Bid Listing - PHPL	Administrative	8 Years	
Change of Orders - Document Routing & Approval	Administrative	Indefinitely	
Construction Bids - Document Routing & Approval	Administrative	Active + 1 year	
Construction-As-Built/Construction Drawings	Administrative	Indefinitely	
Consultant Pay Request - Document Routing & Approval	Administrative	Active + 3 years	
Contract Consultant	Administrative	Active + 3 years	
Contractors Pay Requests	Administrative	Active + 3 years	
Daily Reconciliation - PHPL Requisition Listing	Administrative	30 Days	
Estimate Requests from Campus	Administrative	1 year	
Floor Plans 1/16 for Campus	Administrative	Indefinitely	

Schedule Description	Schedule C: Finance and Administration Record Retention Guidelines		
Record Series Title	Requirements	Rperiod	Notes
Housekeeping Daily Order Form	Administrative	Active + 1 Year	
Key Card Requests	Administrative	Active + 5 Years	
Natural Gas Volume Delivery - Monthly Receipts	Administrative	Final Audit + 5 Years	
Remodel/Alteration Drawing	Administrative	Indefinitely	
Scrap Metal Bid - Departments	Administrative	Active + 1 Year	
Utility Distribution	Administrative	Final Audit + 5 Years	
Work Orders/Requests	Administrative	Active + 2 Years	
Radiation Monitoring	Federal	Indefinitely	
Radiation Exposure	Federal	Indefinitely	
Material Ticket - Stock Charge Out Slips	Administrative	3 Years	
Receiver Report - Attached to Requisition Form	Administrative	3 Years	
Receiving Log	Administrative	1 Year	
Recount Sheets	Inventory Counting	5 years	
Requisitions - Departmental	Administrative	3 Years	
Warehouse/Material Issues - Monthly Summary	Administrative	Indefinitely	
Ethanol - Tax Free Use Record	Federal	Active + 7 Years	
Ethanol - Requisition Report Tax	Federal	Indefinitely	
Inventory (Gas Cyl) - Active Demurage	State	Final Audit + 7 Years	
Inventory Records - Warehouse/Physical Merchandise	Administrative	Final Audit + 1 Year	
Inventory Reports - Annual - Warehouse	State	5 Years	
Warranties (Contract) - New Construction Mech/Elect	Administrative	5 Years	
Warranties (Roof) - New Construction	Administrative	Indefinitely	
Vehicle Reports	State	3 Years	
Vehicle Titles	State	Disposal	

Schedule Description	Schedule D: Student Services Record Retention Guidelines			
Record Series Title	Description	Requirements	RPeriod	Notes
Copy Services				
Invoice (Departmental)	Departmental Paper	Administrative	Active + 3 years	
Job Ticket Files	Sample Job Ticket- Paper	Administrative	1 year	
Counseling Center				
Client File	Counseling treatment record	Professional standards/ethics	7 years from last contact	Electronically, secure server at UCA
Dean of Students				
University Disciplinary Records	Disciplinary violations and sanctions for UCA students	Administrative	7 years	
Behavior Intervention Team Records	Decisions made by the UCA Behavioral Intervention Team	Administrative	Indefinite	
Post Office				
Box Rental Log (Station Copy)	Transaction Record/Receipt	Administrative	1 year	
Change of Address	Cards	Federal	1.5 years	
Meter Registry Log	Mail Meter Log	Federal	4 years	
POS PS 1412 Form (Daily Record)	Daily Transaction Record	Federal	1 year from Audit	
Registered & Cod Mail Record	Mail Record Reg & Cod	Federal	2 years	
Incoming USPS Insured Record	Mail Record - # insured	Administrative	2 years	
Meter Registry Book	Mail Meter Log	Administrative	2 years	
Accountable Mail Sig Cards	Sig. Cards for Insured & Reg.	Federal	2 years	
Student Health Clinic (SHC)				
Immunization Records	Vaccines administered by SHC <u>before</u> 2007	Federal	20 years	Electronic medical record secure server at UCA
Immunization Records	Vaccines administered by SHC <u>after</u> 2007	Federal	20 years	Paper chart, secure file room in SHC
Immunization Records	Paper copies received as part of Admission process for REGISTERED students	Federal	7 years	Scanned into electronic medical record
Immunization Records	Paper copies received as part of Admission process for NON-REGISTERED students	Administrative	2 years	Paper copies, secure file room in SHC
Health Records	All medical related records	Federal	7 years	Prior to 2007, paper chart, secure file room in SHC
Health Records	All medical related records	Federal	7 years	After 2007, electronic medical record
Workman's Compensation Record	Health records for work related injuries and illnesses	Federal	100+ years	Electronic medical record secure server at UCA

Schedule Description	Schedule E: Provost Office Record Retention Guidelines			
Record Series Title	Description	Requirements	RPeriod	Notes
Information Technology				
Business Sys Job requests	Business Sys Job Requests	Administrative	Active + 1year	
Manuals	Various Computer	Administrative	All Manuals are online	
Project Files	Program Requirments	State	Active +2 years	
Library Documentation	Old Documentation	Administrative	Library Decision	
SIS Sys Acct Documentation	Documentation	State	All Manuals are online	
Institutional Research				
IPEDS 12 Month Enrollment	12 month unduplicated headcount and SSCH of the institution.	Administrative	Indefinitely	
IPEDS Academic Libraries	Information on library staffing and resources.	Administrative	Indefinitely	
IPEDS Completions	Information on graduates for a fiscal year.	Administrative	Indefinitely	
IPEDS Fall Enrollment	Information on Fall enrollment.	Administrative	Indefinitely	
IPEDS Financial Aid	Information on financial aid of students.	Administrative	Indefinitely	
IPEDS Graduation Rates	Information on 150% completion time graduation rates.	Administrative	Indefinitely	
IPEDS Human Resources	Information pulled annually each Fall on faculty and staff.	Administrative	Indefinitely	
IPEDS Graduation Rates 200	Information on 200% completion time graduation rates.	Administrative	Indefinitely	
IPEDS Institutional Characteristics	Information on institutions characteristics.	Administrative	Indefinitely	
Factbook	Basic information on students, faculty, and staff.	Administrative	Indefinitely	
AAUP Reports	Information on faculty by rank.	Administrative	Indefinitely	
CUPA Reports	Information on faculty and staff.	Administrative	Indefinitely	
Admissions Data	Information on all Fall transfer, graduate, and first-time undergraduate applicants.	Administrative	Indefinitely	
Financial Aid Data	Information on annual financial aid given to student.	Administrative	Indefinitely	
ADHE File Submissions	Information on students, courses, faculty, and registration records reported each term.	Administrative	Indefinitely	
Common Data Set	A compilation of summary information on students, faculty, and courses.	Administrative	Indefinitely	
Various Surveys	A compilation of summary information on students, faculty, and courses.	Administrative	Indefinitely	

Schedule Description	Schedule E: Provost Office Record Retention Guidelines			
Record Series Title	Description	Requirements	RPeriod	Notes
Inquiries	Keep data provided to individuals and other interested parties based on each request.	Administrative	Indefinitely	
Athletes Information	Keep data on athletes concerning graduation rates and sport participation.	Administrative	Indefinitely	

Schedule Description	Schedule F: University Police Department Record Retention Guidelines			
Record Series Title	Description	Requirements	RPeriod	Notes
UCA PD				
Police Offense Reports:	Sexual or Violent Crimes	State	Indefinitely	
	Closed Felony & Class A Misdemeanor	State	7 Years	
	Expungement Orders of Cases	State	7 Years	
	Accident, Incident, Offense	State	3 Years	
CLERY Files	CLERY	Federal	7 Years	
Radio Log	CAD File	State	3 Years	
Use of Force Reports		Administrative	3 Years after disposition	
Internal Affairs Investigation File	IA Files	Administrative	3 Years after termination or retirement	
Officer Training Files	CLEST Training	State	3 Years after termination or retirement	
Officer Pre-Employment Background File	Police Officer Backgrounds	State	3 Years after termination or retirement	

Schedule Description	Schedule G: Sponsored Programs Record Retention Guidelines			
Record Series Title	Description	Requirements	RPeriod	Notes
Sponsored Programs				
Grant Pre-Award proposal records	Proposals/applications, contracts/agreements, award release documents, no-cost extension documents, budgets	Federal	Active +3 years (from date of submission of final expenditure report)	As per OMB A-110 Sub-part C 53(b)
Grant Pre-Award proposal records	Proposals/applications, contracts/agreements, award release documents, no-cost extension documents, budgets	State, City & Other	Active +7 years (from date of submission of final expenditure report)	
Grant Pre-Award Database	Database of all external funding		Indefinitely	
Inventory	Equipment, Computers etc.	State, City & Other	Indefinitely or Retire	
Compliance IRB and IACUC	Research for Human and Animal Subjects	Federal	3 years past expiration date	

Schedule Description	Schedule H: Athletics Record Retention Guidelines			
Record Series Title	Description	Requirements	RPeriod	Notes
Athletics				
Student Athlete Records	NCAA Institutional Documentation	NCAA	Active +6 Years	
Inventory	Low Value & Extremely Low Value	State	Yearly until retired	
Student Information	Hiring Forms for Student Workers	State	Active +7 Years	
Staff Personnel Files	Hiring Forms etc.	HR/State	Active +7 Years	
Student Worker Files	Hiring Forms etc.	HR/State	Active +7 Years	
Foundation Deposits & Check Request	Copies of checks & invoices	UCA Audit	5 Years	
Football Programs	Unsold programs	UCA Audit	1 Year	Housed in garage at Triplex
Ticket Office Financials	Invoices, Deposit Slips, Game Reports, Faculty/Staff Order Forms	NCAA/UCA Audit	5 Years	Records at Estes Stadium Ticket Office
Ticket Office - Tickets	Complimentary ticket records	UCA Audit	2 Years	Records at Estes Stadium Ticket Office