

University of Alaska							
Federal, State, and Local Contracts							
Retention and Disposition Schedule							
Last Updated: May 4th, 2021							
Next Review Date: May 4th, 2022							
See the bottom of this document for additional notes, definitions, and rules of application.							
RESEARCH ADMINISTRATION							
Office of Vice Chancellor for Research and Research Related Offices							
Category	Category Description	Document Type	Disposition Method <i>To safeguard the privacy of individuals, documents that contain salary information must be shredded, incinerated, or otherwise disposed of securely.</i>	Primary Regulatory Source/Related Authority	Responsible Unit (Official Copy)	Other Copies	Retention Period, Legal and Audit Requirements When requirements for long-term retention of records overlap, the responsible office should retain records for the maximum period needed to meet legal and audit requirements. In special cases retention times may be extended by request of the central offices.
Pending/Unfunded Proposals	## months after proposed project end date. If a resubmission is anticipated, 6 months after the proposed project end date of the revised proposal. Records document grant proposals developed by institutional units which have not been funded. This series may include but is not limited to supporting statistics; demographic data; draft proposals; suggested revisions; final proposals; and related documentation and correspondence.	Paper & Electronic Documents	Shred / Delete		OGCA		## months after proposed project end date. If a resubmission is anticipated, 6 months after the proposed project end date of the revised proposal.
Applications for Grants/Contracts - Denied	A record of proposals that have been denied funding. May include Proposal for Grant or Contract, Request for Approval of Application for Grant or Contract, correspondence, notes, project/planning files, etc.		Shred / Delete		Office of Grants and Contracts Administration	College/School or Department	Official Copy: 1 year after end of month in which denial letter is received Other Copy: 1 year after end of month in which denial letter is received
Applications for Grants/Contracts - Not Confirmed	A record of grant and contract proposals for which no award decision has been made by a funding agency. May include Proposal for Grant or Contract, Request for Approval of Application for Grant or Contract, correspondence, notes, etc.		Shred / Delete		Office of Grants and Contracts Administration	College/School or Department	Official Copy: 3 years after date of GC-1 receipt. Other Copy: 2 years after submittal
Administration Records (Grants, Cooperative Agreements, other Financial Assistance Agreements)- Awarded, Sponsored Projects Agreements	Records document the life cycle of sponsored projects: including proposal and submission actions, agreement negotiations, awarding of funding or execution of agreements, issuances of subcontracts or sub-awards, ongoing administration, and termination and close-outs of the agreements. This group of records follows the administration and non-financial reporting activities surrounding sponsored projects. (Records that document the financial aspects of sponsored projects, and research misconduct or false claims investigative activities are not included in this part of the UA Records Retention Schedule. These records found in all media (paper, electronic, or otherwise) may include but are not limited to: • proposal records; • awards and sub-awards records; and • interim and final reports; and • close-out records.	Paper & Electronic Documents	Shred / Delete / Transfer to Archives for review	45 CFR 74.53 and 92.42 (Health and US Department of Education 34 CFR**74 (A) http://www.gpoaccess.gov/cfr/retrieve.html	OGCA/Property, Official Copy: Office of Grants and Contracts Administration, Official Copy: Equipment Inventory Office -- final equipment inventory	College/School or Department/Principal Investigator	3 years after annual or final financial report is submitted, unless otherwise specified as longer by the terms of the contract, destroy/6 years after close of study / 3 years after final disposition of equipment / 6 years after close of project
Contracts	Grantees and subgrantees will maintain records sufficient to detail the significant history of a contract. Documents must be maintained for a period of 3 years after the termination of the contract or for as long as the contract might specify. If there is any litigation, claim, financial management review, or audit started before the expiration of the 3-year review period, the records must be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.	Paper & Electronic Documents	Shred / Delete	45 CFR 92.36 http://www.gpoaccess.gov/cfr/retrieve.html	OGCA		Documents must be maintained for a period of 3 years after the termination of the contract or for as long as the contract might specify. If there is any litigation, claim, financial management review, or audit started before the expiration of the 3-year review period, the records must be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.
State of Alaska Reimbursable Services Agreements (RSAs)	Retain until RSA closed out plus 3 years.	Paper & Electronic Documents		https://archives.alaska.gov/rims/			Retain until RSA closed out plus 3 years.

Financial Records for Grants/Contracts	<p>Records of financial transactions on grants and contracts including Effort Certification cost share documentation. Includes the following financial records: Cash Transmittals (CTs), Cost Transfer Invoices (CTIs), Memo to Request an Advance Notice, Credit Card Receipts, ProCard transaction approval and reconciliation including reviewed and signed Transaction Detail Report, invoices, and receipts, Central Travel Account (CTA) approvals and reconciliations including reviewed and signed UA Transaction Detail with Notes & Account Codes Report, invoices and receipts, Packing Slips, Petty Cash (Revolving Fund) Records including Application for Revolving Fund, Petty Cash Vouchers with supporting documents such as sales slips, cash register receipts, paid invoices, Receipt for Petty Cash Advance and study subject compensation records, Internal Purchase Approvals, Banking Records including deposit slips, canceled checks, reconciliations and monthly statements, Delegations of Authority, Accounts Receivable. Documentation of charges and billing process for goods and/or services rendered. Documents adjustments to accounts. May include (determination of fees) documentation, work orders or service requests (may be in the form of field orders or invoice vouchers) logs of goods and/or services provided, receipts, billing statements and related documents.</p> <p>What is the "Financial Status Report" (FSR)? For most grant-related financial records, the FSR submission is the trigger date used to signify the start of the record retention period. The trigger represents an event, in order of precedence:</p> <ol style="list-style-type: none"> 1. FSR Submission: The date the Financial Status Report (FSR) was submitted to the sponsor. FSR Submission types are Final FSR or Quarterly or Annual FSRs for awards renewed quarterly or annually. 2. Final Invoice Date: The date the Final Invoice was submitted to the sponsor, where no FSR is required. 3. Budget Closeout: The date the final budget reconciliation was completed, where the sponsor does not require a FSR or Final Invoice. Includes invoicable budgets. 	Paper & Electronic Documents	Recycle or Shred / Delete		OGCA, OFA, Procurement, Official Copy: Procurement Services Official Copy: Grant and Contract Administration	College/School or Department	Variable, depending upon departmental retention schedule 6 years or longer after the expiration/termination of the study; or resolution of any litigation, claim or audit. Retention:## years after submission of financial status report. Retention: 6 years plus 90 days after submission of final expenditure report. Retention: 6 years after submission of a financial status report
Billing Source Documents for Grants/Contracts	Documentation used by UA Recharge/Cost/Service Centers to prepare Cost Transfer Invoices (CTIs), Internal Sales Documents (ISDs), recharge documents, journal vouchers, or invoices for the purpose of charging other budgets or non-UA entities for services or supplies. May describe in greater detail than billing document the service or supplies provided. May include work orders, service requests, logs of goods/services provided, etc. Billing Source Documents for Grants/Contracts	Paper & Electronic Documents	Shred or Delete		Any Issuing Office		6 years submission of a financial status report
Billing Source Documents for Grants/Contracts	Documentation used by UA Recharge/Cost/Service Centers to prepare Cost Transfer Invoices (CTIs), Internal Sales Documents (ISDs), recharge documents, journal vouchers, or invoices for the purpose of charging other budgets or non-UA entities for services or supplies. May describe in greater detail than billing document the service or supplies provided. May include work orders, service requests, logs of goods/services provided, etc. Billing Source Documents for Grants/Contracts	Paper & Electronic Documents	Shred or Delete		Any issuing Office	Any Receiving Office	3 Years after submission of Financial Staus Report
Audits - Sponsored Programs	Documentation of findings reported as a result of an audit by either UA Internal Audit, the State Auditor, a Federal Agency, or independent auditing firm. Audits include site visits, program reviews, etc. Audits - Sponsored Programs Official Copy: UA Internal Audit (for financial audits) Official Copy: Any Audited Office (for site visits and program reviews)		Transfer to Archive				## years after resolution of audit issues

Facilities

Category	Category Description	Document Type	Disposition Method	Primary Regulatory Source/Related Authority	Responsible Unit (Official Copy)	Other Copies	Retention Period, Legal and Audit Requirements When requirements for long-term retention of records overlap, the responsible office should retain records for the maximum period needed to meet legal and audit requirements. In special cases retention times may be extended by request of the central offices.
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Records for real property and equipment acquired with Federal funds	Records retained indefinitely.	Paper documents and electronic documents		45 CFR 74.53 and 92.42 http://www.gpoaccess.gov/cfr/retrieve.html	Facilities		Records retained indefinitely.
Building Records - General Correspondence	Records retained indefinitely.	Paper documents and electronic documents		8 CCR 3204	Facilities		Records retained indefinitely.
Building Records - Investigation and Evaluation	Records retained indefinitely.	Paper documents and electronic documents		8 CCR 3204	Facilities		Records retained indefinitely.
Building Records - Exposure Monitoring	Records retained indefinitely.	Paper documents and electronic documents		8 CCR 3204	Facilities		Records retained indefinitely.
Elevator Permits	In unit or on file - indefinitely	Paper		8 CCR 3100c(1)	Facilities		In unit or on file - indefinitely
Pressure Vessel Permits	Most recent version on unit	Paper		8 CCR 461c & 780c			
Human Subjects Committee (IRB)							
Minutes of IRB meetings, Copies of all research proposals reviewed, Scientific evaluations, Approved sample consent documents, Progress reports submitted by investigators, Reports of injuries to subjects, Records of continuing review activities, Copies of all correspondence between the IRB and the investigators, a List of IRB members, Statements of significant new findings provided to subjects.	Indefinitely.	Electronic and paper	N/A	45 CFR 46.115 http://www.gpoaccess.gov/cfr/retrieve.html	ORI		Indefinitely.
Health Insurance Portability and Accountability (HIPAA) Records							
HIPAA-related documents (policies and procedures, communications, etc.)	6 years from the date of creation or the date when it was last in effect, whichever is later.	Electronic and paper		45 CFR 164.530(j)(1)	ORI		6 years from the date of creation or the date when it was last in effect, whichever is later.
Institutional Animal Care and Use Committee (IACUC)							
Minutes of IACUC meetings, Records of proposed activities involving animals and proposed significant changes in activities involving animals and proposed significant changes in activities involving animals, and whether IACUC approval was given or withheld, Records of semiannual IACUC reports and recommendations	Indefinitely.	Paper and Electronic		9 CFR 2.35 http://www.gpoaccess.gov/cfr/retrieve.html	ORI		Indefinitely.
Records or forms which fully and correctly disclose information regarding each live dog or cat purchased or otherwise acquired, owned, held or otherwise in possession or under control, transported euthanized, sold, or otherwise disposed of by the research facility.	Records and reports must be maintained for at least three years . Records relating directly to proposed activities and proposed significant changes in ongoing activities must be maintained for the duration of the activity and for an additional three years after completion of the activity .	Paper and Electronic		9 CFR 2.35 http://www.gpoaccess.gov/cfr/retrieve.html	ORI		At least three years. Records relating directly to proposed activities and proposed significant changes in ongoing activities must be maintained for the duration of the activity and for an additional three years after completion of the activity.
Registered Research Facility Permit	Indefinite until revoked or returned to the USDA						Indefinite until revoked or returned to the USDA
Conflict of Interest (COI)							
All financial disclosures and all actions taken by the Institution with respect to each conflicting interest	Indefinitely	Paper and Electronic		50.604 and 45 CFR 74.53(b) http://www.gpoaccess.gov/cfr/retrieve.html			
Ethics/Research Misconduct							
Records of research misconduct proceedings	Indefinitely	Paper and Electronic		42 CFR 93.317 http://www.gpoaccess.gov/cfr/retrieve.html			Indefinitely
Recombinant DNA							

Category	Category Description	Document Type	Disposition Method	Primary Regulatory Source/Related Authority	Responsible Unit (Official Copy)	Other Copies	Retention Period, Legal and Audit Requirements When requirements for long-term retention of records overlap, the responsible office should retain records for the maximum period needed to meet legal and audit requirements. In special cases retention times may be extended by request of the central offices.
Accurate, current inventory for each select agent (including viral genetic elements, recombinant nucleic acids, and recombinant organisms) held in long-term storage (placement in a system designed to ensure viability for future use, such as in a freezer or lyophilized materials)	Indefinitely	Paper and Electronic		3.17 .17 9 CFR 121.17 http://www.gpoaccess.gov/cfr/retrieve.html			Indefinitely
Export Controls for Grants/Contracts							
This series provides a record of the documentation required to be retained on the exports of commodities, software, or technology from the United States. It also includes a record of any known re-exports, trans-shipment, or diversions of items exported from the United States as per Export Administration Regulation 762.6. Documentation includes export control documents, memoranda, invitations to bid, financial records, etc. Official Copy: Any office		Paper and Electronic	Shred or Delete		ORI	College/School or Department	5 years after termination of funding period
Inventions, Patents etc... (Technology Transfer)							
	<i>Records document the transfer of technology from this institution to outside agencies as the result of research projects and grants carried out at the institution. This series may include but is not limited to: original patents; patent applications; international licensing agreements; agreements giving permission for institutional researchers to use other patented inventions in their research; and related documentation and correspondence. The series may also include invention disclosure forms that list the names of the inventors; descriptions and titles of inventions; sources of funding to create the inventions; details of the provenance of the inventions and their documentation; to whom the inventions have been disclosed; suggested manufacturers; reports issued concerning the inventions; and signatures of inventors and technically qualified witnesses.</i>						
Assignments of Invention Rights	Assignments are contracts signed by the inventors on the 'Disclosure of New Inventions' assigning rights in their invention				OIPC		
Disclosures of New Inventions	Disclosures are forms filed by UAF faculty, staff or students, either on-line or in paper form. These provide definition of the invention as well as a minimum early date stamp of conception.						
Confidentiality/Non-Disclosure Agreements							
Issued Patents	The United States Patent and Trademark Office (USPTO) will send a limited number of marked or ribboned original patents upon issuance.						
SAFETY OFFICES							
Environmental Hazards (Safety)							
Biosafety Cabinet Testing Records	5 years	Paper and Electronic		8 CCR 5154.2			5 years
Inspections - Routine	5 years	Paper and Electronic		8 CCR 3203			5 years
Incident Reports	30 years	Paper and Electronic		8 CCR 342			30 years
Emergency Response	3 years	Paper and Electronic		8 CCR 3220			3 years
Carcinogen Users Records							
User Authorization	30 years	Paper and Electronic		8 CCR 5194			30 years
Incident Reports	30 years	Paper and Electronic		8 CCR 5203			30 years
Inspections - Routine	5 years	Paper and Electronic		8 CCR 5209			5 years
Investigation & Evaluation	5 years	Paper and Electronic		8 CCR 5210			5 years

Emergency Response	30 years	Paper and Electronic		8 CCR 5209			30 years
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Hazardous Waste Management

Category	Category Description	Document Type	Disposition Method	Primary Regulatory Source/Related Authority	Responsible Unit (Official Copy)	Other Copies	Retention Period, Legal and Audit Requirements When requirements for long-term retention of records overlap, the responsible office should retain records for the maximum period needed to meet legal and audit requirements. In special cases retention times may be extended by request of the central offices.
Correspondence	3 years	Paper and Electronic		No citation			3 years
Federal & State Reports	Permanently	Paper and Electronic		No citation			Permanently
Professional Organization Affiliation	3 years	Paper and Electronic		8 CCR 5192 Appendix C			3 years
Incident Reports	Permanently	Paper and Electronic		8 CCR 3204			Permanently
Inspections - Routine	3 years	Paper and Electronic		22 CCR 66265.15			3 years
Emergency Response	30 years	Paper and Electronic		8 CCR 5192			30 years
Permits and Licenses	Permanently	Paper		8 CCR 5192 Appendix C			Permanently
Pick up and Log Reports	3 years	Paper		8 CCR 5192			3 years
Disposal Manifests	30 years	Paper		22 CCR 66262.40			30 years
Annual Reports	3 years	Paper		22 CCR 66262.57			3 years
Biennial Reports	3 years	Paper		40 CFR 262.40			3 years
Waste Minimization	4 years	Paper and Electronic		22 CCR 67100.3			4 years
Hazardous Waste Worker Training:							
Current Employees	Ongoing retention	Paper		22 CCR 66265.16			Ongoing retention
Former Employees	3 years from termination	Paper		22 CCR 66265.16			3 years from termination

Laboratory Safety Records

Incident Reports	3 years	Paper and Electronic		8 CCR 5163			3 years
Investigation and Evaluation	3 years	Paper and Electronic		8 CCR 15563			3 years
Inspections - Routine	5 years	Paper and Electronic		8 CCR 3203			5 years
Complaints	3 years	Paper and Electronic		8 CCR 5191			3 years
Written chemical hygiene plan	Most recent version indefinitely until revisions	Paper and Electronic		8 CCR 5191 (e)			Most recent version indefinitely until revisions

MSDS/Chemical Inventory Records

Material Safety Data Sheets or Chemical Inventory by location and date	30 years	Paper in Yellow Binders		8 CCR 3204			30 years
Written hazard communication program	Most recent version indefinitely until revisions	Paper and Electronic		8 CCR 5194(e)(1)			Most recent version indefinitely until revisions

Medical Waste Records

Category	Category Description	Document Type	Disposition Method	Primary Regulatory Source/Related Authority	Responsible Unit (Official Copy)	Other Copies	Retention Period, Legal and Audit Requirements When requirements for long-term retention of records overlap, the responsible office should retain records for the maximum period needed to meet legal and audit requirements. In special cases retention times may be extended by request of the central offices.
Medical Waste Plan	Most recent version indefinitely until revisions	Paper and Electronic		California Health and Safety Code Sections 117600-118360			Most recent version indefinitely until revisions
Financial Records	3 years	Paper and Electronic		California Health and Safety Code Sections 117600-118360			3 years
Disposal Reports	30 years	Paper and Electronic		California Health and Safety Code Sections 117600-118360			30 years
Treatment Records, SOPs, Indicator Tests	3 years	Paper and Electronic		California Health and Safety Code Sections 117600-118360			3 years

Industrial Hygiene Records							
Incident Reports	3 years	Paper and Electronic		8 CCR 5163			3 years
Investigation and Evaluation	3 years	Paper and Electronic		8 CCR 15563			3 years
Exposure records	30 years	Electronic		8 CCR 3204(d)(i)(B)(1)			30 years
Medical Records	Employment + 30 years	Paper and Electronic		8 CCR3204(d)(i)(A)			Employment + 30 years
Analyses using exposure & medical records	30 years	Paper and Electronic		8 CCR3204(d)(i)(B)(3)			30 years
Employee noise exposure	2 years	Electronic		8 CCR 5100(d)(1)			2 years
Audiometric testing data	Duration of Employment	Electronic		8 CCR 5100(d)(2)			Duration of Employment
Respirator Fitting Records	30 years	Paper and Electronic		20 8 CCR 3204			30 years
Written Standard Operating Procedures	Most recent version indefinitely until revisions	Paper and Electronic		8 CCR 5144(f)(1)			Most recent version indefinitely until revisions
Toxic Exposure Records							
Category	Category Description	Document Type	Disposition Method	Primary Regulatory Source/Related Authority	Responsible Unit (Official Copy)	Other Copies	Retention Period, Legal and Audit Requirements When requirements for long-term retention of records overlap, the responsible office should retain records for the maximum period needed to meet legal and audit requirements. In special cases retention times may be extended by request of the central offices.
Employee Medical Records	30 years after termination	Electronic		8 CCR 3204			30 years after termination
Radiation Safety							
Provisions of the Program	Until License Termination	Legible throughout the specified retention period	N/A	10 CFR Parts 20,30,33,35 and 17 CCR 30253			Until License Termination
Radioactive materials license, renewals and amendments, licensee's management correspondences	5 years	Legible throughout the specified retention period		10 CFR 35.2024			5 years
Radiation Safety Committee Minutes	Until License Termination	Legible throughout the specified retention period	N/A	10 CFR Parts 20,30,33,35 and 17 CCR 30253			Until License Termination
Audits and reviews of program content and implementation	3 years	Legible throughout the specified retention period		10 CFR 20.2102			3 years
Magnitude and extent of radiation levels, concentrations and quantities of radioactive materials and potential radiological hazards	3 years	Legible throughout the specified retention period		10 CFR 20.2103 and 10 CFR 35.2070			3 years
Surveys, measurements, calculations, air sampling and bioassays to determine dose to individuals and releases of effluents to the environment	Until License Termination	Legible throughout the specified retention period	N/A	10 CFR 20.2103			Until License Termination
Occupational doses, prior doses, doses to members of the general public, doses to the embryo/fetus of a declared pregnant woman, doses due to accidents, emergencies, planned special exposures.	Until License Termination	Legible throughout the specified retention period	N/A	10 CFR 20.2104, 20.2105, 20.2106 and 20.2107			Until License Termination
Disposal of licensed material	Until License Termination	Legible throughout the specified retention period	N/A	10 CFR 20.2002-20.2005, 10 CFR 61, 17 CCR 30293			Until License Termination
Vacating an installation/decommissioning	Until License Termination, transferred to a new licensee or until released for unrestricted use by the CDPH	Legible throughout the specified retention period		17 CCR 30256 and 30293			Until License Termination, transferred to a new licensee or until released for unrestricted use by the CDPH
Physical Inventories and leak tests of sealed sources	3 years	Legible throughout the specified retention period		10 CFR 20.2102 and 10 CFR 35.2067			3 years

Correspondence	3 years	Legible throughout the specified retention period		10 CFR 20.2102			3 years
License Violations	3 years	Legible throughout the specified retention period		10 CFR 20.2102			3 years
Routine Inspections	3 years	Legible throughout the specified retention period		10 CFR 20.2106			3 years
Instruments Calibration	3 years	Legible throughout the specified retention period		10 CFR 20.2106 and 10 CFR 35.2060			3 years
RSO/management authority, duties and responsibilities and sign-off	Until License Termination	Legible throughout the specified retention period	N/A	10 CFR 35.2024			Until License Termination
Records of each radiation protection change	5 years	Legible throughout the specified retention period		10 CFR 35.2026			5 years
therapy patient survey and pre discharge records	3 years	Legible throughout the specified retention period		10 CFR 35.2075, 35.2404			3 years
Decay-in-storage	3 years	Legible throughout the specified retention period		10 CFR 35.2092			3 years
Radiation safety instructions	3 years	Legible throughout the specified retention period		10 CFR 35.2310			3 years
X-ray Machine Surveys	30 years*	Legible throughout the specified retention period		17 CFR 30305-30314 (3 years for Fluoro and Therapy)			30 years*
Waste Disposal	30 years*	Legible throughout the specified retention period		10 CFR 20.2108			30 years*
RUA (Radiation) Users	30 years*	Legible throughout the specified retention period		10 CFR 20.2106 & 20.2107			30 years*
Dosimetry Results	30 years*	Legible throughout the specified retention period		10 CFR 20.2106 & 20.2107			30 years*
Bioassay Results	30 years*	Legible throughout the specified retention period		10 CFR 20.2106 & 20.2107			30 years*
Dose Determining Surveys	30 years*	Legible throughout the specified retention period		10 CFR 20.2106 & 20.2107			30 years*
Isotope Purchases Inventories	3 years	Legible throughout the specified retention period		10 CFR 20.2102			3 years
<p>Note: all of the record retention requirements listed as 30 years* do not comply with the stated regulatory retention period to the extent that the records are used to quantify radiation dose to individuals. In this case, the regulations clearly require retention of these records until license termination). In order to avoid possible non-compliance citation or lawsuits, the letter of agreement between the EH&S directors and the Federal or State regulatory agency must be maintained until license termination. This is the only way I see that we would be in compliance with these regulations.</p>							

NOTE ON DISPOSITION	Departments may arrange for service from a business record destruction vendor. Be aware of confidentiality and the inclusion of personal information in the records. Shred paper documents containing personal, proprietary, or confidential information, using a cross-cut shredding device. Deletion of an electronic record may not eliminate all remnants of the record. Electronic data must be securely removed from any disk, tape, USB drive, hard drive, photocopier, facsimile machine, or other device with electronic storage before the device is transferred or discarded. The Uniform Guidance provides an opportunity to shift from paper to electronic methods of storage. It encourages federal agencies and universities to use electronic formats rather than paper whenever practicable. While we must still provide or accept paper when it is requested, the guidance says that when original records are electronic and non-alterable, there is no need to create and retain paper copies. Similarly, when original records are paper (e.g. receipts), electronic versions (e.g. pdf scans) may be substituted provided they remain readable, are subject to periodic quality control reviews and are reasonably safeguarded against being altered. Applicable Uniform Guidance section: 200.335 Note that there are inconsistencies between the UG and the Federal Acquisition Regulation (FAR). Federal contracts follow the FAR, plus UG for cost principles only. Under the FAR, paper records related to contracts must be kept for a year after they are converted to an electronic format. Such paper documents should be scanned and retained. Applicable Uniform Guidance section: 200.333	
Rules of Application:	The office of origin/creation is responsible for retention of the record series for the minimum length of retention, unless the campus assigns responsibility for certain records to another office. •If a record appears to fit in more than one category, apply the narrowest category. •If no category fits, look for an analogous category and follow its guidance. •When in doubt,	•The retention periods in the schedule are minimums and also recommended as appropriate maximum retention periods. •If a federal or state statute or regulation specifies a longer retention period for any type of record received, created, or maintained by UA campuses, the statute or regulation or litigation hold overrides this schedule. The official record holder for the record should be familiar with any statutes or regulations that may apply to the unit's records. If any record holder is unsure of the applicability of any statute or regulation, he or she may contact General Counsel. •Upon notice of a legal investigation, audit, dispute, or claim; receipt of a litigation hold or upon service of legal processthrough subpoena, summons or other means for delivery of records, all scheduled destruction of records related to the matter shall be immediately suspended and destruction of the records would not occur until the matter is fully resolved and finalized
COGR	https://www.cogr.edu/sites/default/files/access_to_sharing_and_retention_of_research_data_rights_%26_responsibilities.pdf	
Term	Definition	
Active	An original University Record currently used by the office, department or other area of the University that generated it. Active Records remain active for varying numbers of years, depending on the purpose for which they were created and regulatory requirements. Active Records may be retained in the originating office or at an offsite storage company. Active Records include records in all formats, including but not limited to: paper, fiche, digitized or scanned documents, electronic documents, and all other formats.	
Shred (S)/Delete (D)	Shred/Delete at end of retention period. If the series or item contains restricted information, the records must be destroyed in a secure manner such as incineration, shredding or secure electronic destruction. If the material does not contain restricted information the records may be destroyed by placing in trash or recycle (preferred), or via electronic destruction, or by a secure method	
Record Retention Schedule	A record retention schedule provides the framework for an effective record management program. It provides the basis for decisions related to minimum record retention and approved dispositions of records.	
Permanet	Record series determined to have demonstrated historical, legal or administrative value to a particular unit on campus that will be maintained permanently.	
Records	Any documentary material made or received in connection with the application for, or conduct of, a sponsored activity. "Records" includes paper, electronic records, and records, reports, or data in other media	
Archival Record	An original University Record that has permanent or historic value , is inactive, and is not required to be retained in the office in which it originated or was received.	
Electronic Record	A University Record kept in a non-tangible electronic format. Electronic Records include but are not limited to: word processor documents, spreadsheets, databases, HTML documents, scanned or imaged documents, and any other type of file warehoused online, on a mainframe, on a computer hard drive, or on any external storage medium (including disks and thumb drives).	
Official Repository	The office or department designated as having responsibility for retention and timely destruction of particular types of official University Records.	
Litigation	Any reasonably anticipated litigation, audit, governmental investigation, or similar proceeding	