

**Audit Management Advisory Services  
Record Retention Criteria**

PURPOSE: To provide audit criteria for review of department records commonly created and monitored by departments.

**Note: Retention periods indicated apply both to electronic and manual records. A hardcopy of electronic records should be printed out and retained as systems are purged and become obsolete. Conversion of paper documents to microfiche or microfilm should be considered as a storage option. See web-site @ <http://www.abs.uci.edu/depts/mailrec/uci-ppm/procs/700/721-11a.html> for detailed record disposition schedules.**

Type of Record	Office of Record	Office of Record Copy	Number of Years to Retain Department Copy
<b>Agreements</b>			
Independent Consultant Agreement	Accounting Executing Office	5 following termination	<b>0-5</b>
Performance Agreements	<b>Executing Office</b>	<b>4 after expiration</b>	0-5
Professional Services Agreements (to UC, excluding medical)	<b>Executing Office</b>	<b>5 following expiration</b>	1 following expiration
Service Agreements	<b>Executing Office</b>	<b>3-5 following expiration</b>	1-2 following expiration
State Agreements/ Contracts (research service, cooperative)	<b>Contracts &amp; Grants</b>	<b>6 after termination</b>	0-5 following termination
	Accounting	3 after termination	
<b>Certificates, Licenses, Permits, Registrations, Warrantees</b>			
Copyrights	<b>Executing Office</b>	<b>3 following expiration</b>	0-3
Registered Research Facility Permit	<b>Research Facility</b>	<b>Until revoked, return to USDA</b>	
<b>Contracts, Grants, &amp; Agreements (Extramural) for Research, Training &amp; Public Service</b>			
Advice of Contract/Grant Award	Originating Contracts & Grants Office	0-3	<b>0-1</b>
Contracts & Grants	Contracts & Grants Office (campus or OP) with operational responsibility	Longer of a) 6 after expiration/termination b) resolution of any litigation claim or audit, or c) period stated in award document. All subject to archival review.	<b>0-5</b>
	Accounting Office (campus or OP) with operational responsibility	Same as above	<b>0-5</b>
Proposals for Extramural Support, pending	Contracts & Grants Office (campus or OP) with operational responsibility	Hold until proposal is awarded, rejected or withdrawn	<b>Hold until proposal is awarded, rejected or withdrawn</b>

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Proposals for Extramural Support, rejected or withdrawn	Contracts & Grants Office (campus or OP) with operational responsibility	0-2	<b>0-1</b>
Awarded Proposal	Contracts & Grants Office (campus or OP) with operational responsibility	Longer of a) 6 years after expiration/termination b) resolution of any litigation claim or audit, or c) period stated in award document. All subject to archival review.	<b>0-5</b>
<b>Correspondence</b>			
Correspondence	<b>Department</b>	<b>0-2</b>	
Printing & Photocopy Masters	<b>Department</b>	<b>0-1</b>	
<b>Other Administrative Records</b>			
Five-Year Review of Organized Research Units - Universitywide	Reviewing Office	0-5 after life of unit, then to Archives	<b>5-10</b>
Inventory Forms, Supplies	<b>Department</b>	<b>0-1</b>	
<b>Patents</b>			
Patent- Not Issued	Patent, Trademark, & Copyright	10 after the last action or expiration of the license or other agreement, then to archives	<b>0-10</b>
Patent- Issued	Patent, Trademark, & Copyright	7 after the last action or expiration of the license or other agreement, then to archives	<b>0-10</b>
License Agreement	Patent, Trademark, & Copyright	7 after the last action or expiration of the license or other agreement, then to archives	<b>0-10</b>
<b>Policies, Procedures, Laws</b>			
Policies, Procedures, Laws	Various (see disposition schedules)	Permanent (generally)	<b>Until superseded</b>
Departmental Policies	<b>Department</b>	<b>Until superseded</b>	
<b>Publications</b>			
Miscellaneous UC Publications (not otherwise listed)	<b>Issuing Department</b>	<b>Permanent</b>	0-10
<b>Publicity and Mass Media Information</b>			
Departmental New Releases	<b>Department</b>	<b>0-5</b>	
<b>Reports and Rosters</b>			
Institutional Studies Reports (each)	OP-Budgetary Planning	5-10 (each)	<b>0-5</b>

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<b>Budget and Budget Control</b>			
Department Accounts, Record of Expenditures (unless specifically identified elsewhere)	<b>Department</b>	<b>5</b>	
<b>Cash Receipts and Receivables</b>			
Bank Deposit Receipts	Accounting	2	<b>1</b>
Cancellation of Invoices and Sundry Debtor Bills	Accounting/Cashier (after payment)	2-5	<b>1</b>
Credit Card Sales	<b>Department</b>	<b>2</b>	
<b>Equipment</b>			
Equipment > \$1,000	<b>Custodian Dept.</b>	<b>Until superseded</b>	
<b>Financial Reports and Statements</b>			
Financial Report, other than UC, and State of California	<b>Department</b>	<b>5</b>	
<b>Purchasing and Distribution</b>			
Low Value Purchase Authorization	<b>Department</b>	<b>5</b>	
Purchase Agreements	Negotiating Office	5 after expiration	<b>1-2 after expiration</b>
Purchase Orders	Purchasing	5	<b>0-5</b>
Request for Approval to Engage Services of Independent Consultant	<b>Department</b>	<b>5</b>	
Request for Delivery	<b>Department</b>	<b>1-5</b>	
Cost Sharing Contributions, Supplementary Information and Records Explaining	<b>Department</b>	<b>10</b>	
Departmental Records/Logs Supporting Redistributed Minor Charges such as Xerox Machine Rental and Paper Costs, Telephone Charges, Mail Charges, Supplies, etc. - - According to Direct Costing Policy	<b>Department</b>	<b>5</b>	
Department Substantiating Supplementary Documentation Containing Detailed Information in Support of Service Department or Departmental Recharges for Goods or Services Furnished to Other Departments	<b>Department</b>	<b>5</b>	
<b>Medical Records</b>			

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Medical Records	Student Health Service/ Hospital	10- 25 years after last date of activity, with minors kept for one year past the age of majority, or permanent	<b>10 years or more following last recorded activity, but records of minors must be kept for one year past the age of majority</b>
Clinical Research Records (if separate from the patient medical record)	<b>Department</b>	<b>10- 25 years after last date of activity, with minors kept for one year past the age of majority, or permanent</b>	
Administrative records	Student Health Service/ Hospital	5-10 years	<b>5-10 years</b>
<b>Employment</b>			
Corrective Action Records, Police Personnel (based on citizens' complaints)	<b>Department or Personnel</b>	<b>After 5 consecutive years during which there has been no further action related to the original incident</b>	
Corrective Action Records, Staff Personnel	<b>Department or Personnel</b>	<b>After 2 consecutive years during which there has been no further action related to the original incident</b>	
Performance Evaluation	<b>Department or Personnel</b>	<b>5 after separation</b>	
Letters or Statements of Reference - Staff Personnel	<b>Department or Personnel</b>	<b>2-5</b>	
Personnel Activity Report (Time and Effort Certification)	<b>Department</b>	<b>5</b>	
	Accounting	5	
Time Records, Supporting Department Daily Attendance Records, Records Identifying Each Account/Fund to Which Time is Chargeable, Sick Leave Accrual and Usage Records Showing Fund Charged	<b>Department</b>	<b>5</b>	