<table>
<thead>
<tr>
<th>Function</th>
<th>Description</th>
<th>Sub-category</th>
<th>Retention Period</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Routine office records management</td>
<td>includes records of operational activities related to the day-to-day operations of the university, including correspondence, procedures, and administration. Examples include minutes, correspondence, and reports.</td>
<td>Routine internal records, routine internal letters, minutes, correspondence, e-mail messages, routine memos, reports, policies, procedures, internal memos, agendas, meeting minutes, and general business correspondence.</td>
<td>1 year or longer than the year after their administrative use.</td>
<td>All official copies are considered special records and are retained for as long as they are being used, but never more than the official record.</td>
</tr>
<tr>
<td>Operational program records management</td>
<td>includes records of operational activities related to the day-to-day operations of the university, including correspondence, procedures, and administration. Examples include minutes, correspondence, and reports.</td>
<td>Operational internal records, operational internal letters, minutes, correspondence, e-mail messages, routine memos, reports, policies, procedures, internal memos, agendas, meeting minutes, and general business correspondence.</td>
<td>1 year or longer than the year after their administrative use.</td>
<td>All official copies are considered special records and are retained for as long as they are being used, but never more than the official record.</td>
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<td>Academic, administrative, business, and financial records management</td>
<td>includes records of operational activities related to the day-to-day operations of the university, including correspondence, procedures, and administration. Examples include minutes, correspondence, and reports.</td>
<td>Academic, administrative, business, and financial internal records, academic, administrative, business, and financial internal letters, minutes, correspondence, e-mail messages, routine memos, reports, policies, procedures, internal memos, agendas, meeting minutes, and general business correspondence.</td>
<td>1 year or longer than the year after their administrative use.</td>
<td>All official copies are considered special records and are retained for as long as they are being used, but never more than the official record.</td>
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<tr>
<td>Suppliers, reagents, and other non-retained records</td>
<td>includes records of operational activities related to the day-to-day operations of the university, including correspondence, procedures, and administration. Examples include minutes, correspondence, and reports.</td>
<td>Suppliers, reagents, and other non-retained internal records, suppliers, reagents, and other non-retained internal letters, minutes, correspondence, e-mail messages, routine memos, reports, policies, procedures, internal memos, agendas, meeting minutes, and general business correspondence.</td>
<td>6 months or less after the record's period has lapsed.</td>
<td>All official copies are considered special records and are retained for as long as they are being used, but never more than the official record.</td>
</tr>
<tr>
<td>University's general administrative activities</td>
<td>includes records of operational activities related to the day-to-day operations of the university, including correspondence, procedures, and administration. Examples include minutes, correspondence, and reports.</td>
<td>University's general administrative internal records, University's general administrative internal letters, minutes, correspondence, e-mail messages, routine memos, reports, policies, procedures, internal memos, agendas, meeting minutes, and general business correspondence.</td>
<td>6 months or less after the record's period has lapsed.</td>
<td>All official copies are considered special records and are retained for as long as they are being used, but never more than the official record.</td>
</tr>
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</table>
not provided
26 CFR § 1620.32 - Retain records for plan years in which the records are created. All other Copies: Copies are considered non‐use, and should be retained only until their usefulness has passed, but never longer than the official record.

26 CFR § 668.24(e) - Copies are only destroyed if: (a) the records contain other protected information, creating copies is discouraged; (b) destroyed; (c) the records contain other protected information, creating copies is discouraged; (d) destroyed; or (e) destroyed; (f) destroyed.

26 CFR § 300.80 - Copies are only destroyed if: (a) the records contain other protected information, creating copies is discouraged; (b) destroyed; (c) the records contain other protected information, creating copies is discouraged; (d) destroyed; or (e) destroyed; (f) destroyed.

26 CFR § 318.40 - Copies are only destroyed if: (a) the records contain other protected information, creating copies is discouraged; (b) destroyed; (c) the records contain other protected information, creating copies is discouraged; (d) destroyed; or (e) destroyed; (f) destroyed.

26 CFR § 318.40 - Copies are only destroyed if: (a) the records contain other protected information, creating copies is discouraged; (b) destroyed; (c) the records contain other protected information, creating copies is discouraged; (d) destroyed; or (e) destroyed; (f) destroyed.

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A. Public Employment Records

1. A.1. Employment Related Claims Records

1. A.1.1. Employment Related Claims Records

A.1. Public Employment Records

2. A.2. Employment Related Claims Records

A.2. Public Employment Records

3. A.3. Employment Related Claims Records

A.3. Public Employment Records

B. Private Employment Records

1. B.1. Private Employment Records

2. B.2. Private Employment Records

C. Other Employment Records

1. C.1. Other Employment Records

2. C.2. Other Employment Records

V. University Records

1. V.1. Employment Records

2. V.2. Employment Records

W. All Other Records

1. W.1. All Other Records

2. W.2. All Other Records

X. Records of Students, Bills and Non-Employees

1. X.1. Records of Students, Bills and Non-Employees

2. X.2. Records of Students, Bills and Non-Employees

Y. Non-employee Records

1. Y.1. Non-employee Records

2. Y.2. Non-employee Records

Z. Records of Employees, Volunteers and Contractors

1. Z.1. Records of Employees, Volunteers and Contractors

2. Z.2. Records of Employees, Volunteers and Contractors

1. A.1. Employment Related Claims Records

1. A.1.1. Employment Related Claims Records

A.1. Public Employment Records

2. A.2. Employment Related Claims Records

A.2. Public Employment Records

3. A.3. Employment Related Claims Records

A.3. Public Employment Records

B. Private Employment Records

1. B.1. Private Employment Records

2. B.2. Private Employment Records

C. Other Employment Records

1. C.1. Other Employment Records

2. C.2. Other Employment Records

V. University Records

1. V.1. Employment Records

2. V.2. Employment Records

W. All Other Records

1. W.1. All Other Records

2. W.2. All Other Records

X. Records of Students, Bills and Non-Employees

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2. X.2. Records of Students, Bills and Non-Employees

Y. Non-employee Records

1. Y.1. Non-employee Records

2. Y.2. Non-employee Records

Z. Records of Employees, Volunteers and Contractors

1. Z.1. Records of Employees, Volunteers and Contractors

2. Z.2. Records of Employees, Volunteers and Contractors

1. A.1. Employment Related Claims Records

1. A.1.1. Employment Related Claims Records

A.1. Public Employment Records

2. A.2. Employment Related Claims Records

A.2. Public Employment Records

3. A.3. Employment Related Claims Records

A.3. Public Employment Records

B. Private Employment Records

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2. B.2. Private Employment Records

C. Other Employment Records

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2. C.2. Other Employment Records

V. University Records

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2. V.2. Employment Records

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1. W.1. All Other Records

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Y. Non-employee Records

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2. Y.2. Non-employee Records

Z. Records of Employees, Volunteers and Contractors

1. Z.1. Records of Employees, Volunteers and Contractors

2. Z.2. Records of Employees, Volunteers and Contractors
### 3. Financial and Procurement Records

**Non-records:** Documents and records are not subject to the retention periods and schedules described for this function that document payments for faculty and student services to vendors and banks.

<table>
<thead>
<tr>
<th>Records</th>
<th>Financial and Procurement Records</th>
<th>Action/Retention Period</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of Financial Services and Procurement</td>
<td>Procurement and Billing/ Cash Handling Records</td>
<td>Department of Financial Services and Procurement</td>
<td>Procurement and Billing/ Cash Handling Records</td>
</tr>
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</tr>
<tr>
<td>Section</td>
<td>Financial and Procurement Records</td>
<td></td>
<td></td>
</tr>
<tr>
<td>--------</td>
<td>-----------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>Records that document the financial and procurement activities of the university. These records relate to the bond financing, lending and banking, accounting, procurement, travel management, asset management and tax activities of the university. The records may include but are not limited to documentation of accounts receivable and payable records; deposit records; capital equipment and fixed asset inventories; and other related records.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Title</th>
<th>Financial and Procurement Records</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.8.2</td>
<td>Investment and Endowment Accounting Records</td>
</tr>
<tr>
<td></td>
<td>Records document the accounting and reporting activities for investments and endowments, including fund functioning as endowments. These records are in all media (paper, electronic, or other) and may include but are not limited to investment and endowment records, fund listings, investment reports, financial statements, annual reports, investment endowment distribution records, and financial investment reports.</td>
</tr>
</tbody>
</table>

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<tr>
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<th>Financial and Procurement Records</th>
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</thead>
<tbody>
<tr>
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<td>Records that document the accounting and reporting activities for investments and endowments, including fund functioning as endowments. These records are in all media (paper, electronic, or other) and may include but are not limited to investment and endowment records, fund listings, investment reports, financial statements, annual reports, investment endowment distribution records, and financial investment reports.</td>
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<tr>
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<tbody>
<tr>
<td>4.8.1</td>
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<tr>
<td>Section</td>
<td>Financial and Investment Records</td>
</tr>
<tr>
<td>---------</td>
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</tr>
<tr>
<td>3.1</td>
<td>Financial and Investment Records</td>
</tr>
<tr>
<td>3.2</td>
<td>Financial and Investment Records</td>
</tr>
<tr>
<td>3.3</td>
<td>Financial and Investment Records</td>
</tr>
</tbody>
</table>

**Financial and Investment Records**

**Purpose:** To define the terms and conditions governing the handling and disposal of financial and investment records, including the scheduling of the records.

### Financial and Investment Records

- **Retention Schedule:**
  - Financial and investment records shall be retained for a period of 5 years after the financial year in which the record is created.
  - Physical security records shall be retained for a period of 5 years after the financial year in which the record is created.
  - Electronic records shall be retained for a period of 5 years after the financial year in which the record is created.

### Financial and Investment Records

- **Security Measures:**
  - Physical security measures shall be in place to protect financial and investment records from unauthorized access.
  - Electronic security measures shall be in place to protect financial and investment records from unauthorized access.

### Financial and Investment Records

- **Record Retention:**
  - Financial and investment records shall be retained for a period of 5 years after the financial year in which the record is created.
  - Physical security records shall be retained for a period of 5 years after the financial year in which the record is created.
  - Electronic records shall be retained for a period of 5 years after the financial year in which the record is created.

### Financial and Investment Records

- **Disposal:**
  - Financial and investment records shall be disposed of in accordance with the University’s Records Management policy.
  - Physical security records shall be disposed of in accordance with the University’s Records Management policy.
  - Electronic records shall be disposed of in accordance with the University’s Records Management policy.

---

**Note:** The above information is based on the University of California, Berkeley's records management policies and guidelines. For more information, please refer to the official University policies and guidelines available online.
There are records that document the financial and procurement activities of the University. These records relate to the awarding of contracts, procurement, travel management, asset management and the activities of the university. The records may include but are not limited to:

- Documentation of accounts receivable and payable records;
- Deposit records;
- Capital equipment and fixed asset inventories;
- Other related records.

### Competitive Bidding Records
*Competitive Bidding Records describe activities related to the processes used in awarding goods and services.*

#### 1. Competitive Bidding Records
- All other competitive bidding records

- Competitive bidding records describe activities related to the processes used in awarding goods and services.
- Competitive bidding records for RFPs, RFQs, RFI, RWS, competitive bids, competitive bidding records, RFPs, RFIs, Competitive Bids, records, sponsored activity records, sponsored project records, sponsored project activities, RFPs, RFIs, RWS, competitive bids, competitive bidding records, RFIs, RWS, Competitive Bids, records, sponsored activity records, sponsored project records, sponsored project activities.

- Competitive bidding records related to the processes used in awarding goods and services.
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In Compliance Records, the University of California, such as audit, compliance reviews, and investigations of whistleblowers, retaliation, and misconduct allegations at the University. They also document compliance certification activities at the University.

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### Records & Compliance Records

Compliance Records Document the compliance processes and activities of the university, such as audits, compliance reviews, and investigations of whistleblowers, retaliation, and misconduct allegations at the university. They also document compliance certification activities at the university.

<table>
<thead>
<tr>
<th>Export Control Records</th>
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</thead>
<tbody>
<tr>
<td>4. Foreign Trade Regulations Records</td>
<td>5. Foreign Trade Regulations Records</td>
</tr>
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</tr>
</tbody>
</table>
Records & Compliance Records

Compliance records are maintained for compliance with Federal, State, and University policies, such as audit, compliance reviews, and investigations. These records include: initiation, initiation, and records retention schedules at the University. They also document compliance certification activities at the University.

1.2.4.1 Governance

Control the regulations, including state investigations, federal and local laws, and any other applicable regulations. These records are maintained in accordance with Federal, State, and University regulations.

1.2.4.1.2 Public Safety Records

Public Safety Records document the management of campus security, crime investigations, and general law enforcement. The records include: reports of events or situations that endanger the safety of students, faculty, staff, and the general public; significant incidents; investigations; and any other applicable regulations.

1.2.4.1.3 Public Safety Records

Public Safety Records document the management of campus security, crime investigations, and general law enforcement. The records include: reports of events or situations that endanger the safety of students, faculty, staff, and the general public; significant incidents; investigations; and any other applicable regulations.

1.2.4.1.4 Public Safety Records

Public Safety Records document the management of campus security, crime investigations, and general law enforcement. The records include: reports of events or situations that endanger the safety of students, faculty, staff, and the general public; significant incidents; investigations; and any other applicable regulations.

1.2.4.1.5 Public Safety Records

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1.2.4.1.6 Public Safety Records

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1.2.4.1.7 Public Safety Records

Public Safety Records document the management of campus security, crime investigations, and general law enforcement. The records include: reports of events or situations that endanger the safety of students, faculty, staff, and the general public; significant incidents; investigations; and any other applicable regulations.

1.2.4.1.8 Public Safety Records

Public Safety Records document the management of campus security, crime investigations, and general law enforcement. The records include: reports of events or situations that endanger the safety of students, faculty, staff, and the general public; significant incidents; investigations; and any other applicable regulations.

1.2.4.1.9 Public Safety Records

Public Safety Records document the management of campus security, crime investigations, and general law enforcement. The records include: reports of events or situations that endanger the safety of students, faculty, staff, and the general public; significant incidents; investigations; and any other applicable regulations.

1.2.4.1.10 Public Safety Records

Public Safety Records document the management of campus security, crime investigations, and general law enforcement. The records include: reports of events or situations that endanger the safety of students, faculty, staff, and the general public; significant incidents; investigations; and any other applicable regulations.
Public Safety Records

Public Safety Records document the management of campus security, crime prevention and general enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury, harm, or damage, such as crimes at the university.

Public Safety Records

Public Safety Records document police reports, investigations and allegations of illegal activities and misconduct, including allegations that fall under the Civil Rights and Negligent Reporting Act (CARMA). These records are available unless: (1) the complaint is filed by a member of the public against an employee in a public title as well as the subsequent investigation and any corrective action; (2) the records containing an investigation of the complaint and records of corrective actions, as well as police reports and supporting documentation. These records relate to an incident as well as police reports, any searches. These records include complaints filed by a member of the public against employees in a public title as well as the subsequent investigation and any corrective action.

Public Safety Records

Public Safety Records document the management of campus security, crime prevention and general enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury, harm, or damage, such as crimes at the university.

Public Safety Records

Public Safety Records document police reports, investigations and allegations of illegal activities and misconduct, including allegations that fall under the Civil Rights and Negligent Reporting Act (CARMA). These records are available unless: (1) the complaint is filed by a member of the public against an employee in a public title as well as the subsequent investigation and any corrective action; (2) the records containing an investigation of the complaint and records of corrective actions, as well as police reports and supporting documentation. These records relate to an incident as well as police reports, any searches. These records include complaints filed by a member of the public against employees in a public title as well as the subsequent investigation and any corrective action.

Public Safety Records

Public Safety Records document police reports, investigations and allegations of illegal activities and misconduct, including allegations that fall under the Civil Rights and Negligent Reporting Act (CARMA). These records are available unless: (1) the complaint is filed by a member of the public against an employee in a public title as well as the subsequent investigation and any corrective action; (2) the records containing an investigation of the complaint and records of corrective actions, as well as police reports and supporting documentation. These records relate to an incident as well as police reports, any searches. These records include complaints filed by a member of the public against employees in a public title as well as the subsequent investigation and any corrective action.
Public Safety Records: 2020/09/16

Public Safety Records are documents that describe the management of campus security, crime prevention and law enforcement.

The records relate to the prevention of and protection from events or situations that could endanger the safety of students, faculty, staff and the general public from significant danger, injury or harm, or damage, as crimes at the university.

1. Public Safety Records: 2020/09/16

Public Safety Records: 2020/09/16

Public Safety Records are documents that describe the management of campus security, crime prevention and law enforcement.

The records relate to the prevention of and protection from events or situations that could endanger the safety of students, faculty, staff and the general public from significant danger, injury or harm, or damage, as crimes at the university.

1. Public Safety Records: 2020/09/16

Public Safety Records are documents that describe the management of campus security, crime prevention and law enforcement.

The records relate to the prevention of and protection from events or situations that could endanger the safety of students, faculty, staff and the general public from significant danger, injury or harm, or damage, as crimes at the university.
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<th>Location</th>
<th>Text</th>
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<tr>
<td>1.2.6.1</td>
<td>Public Safety Records: Personal information about individuals involved in the management of campus security, crime prevention and general law enforcement. The records relate to the prevention of and protection from events or activities that could endanger the safety of students, faculty, staff and the general public from significant danger, injury, harm, or damage, as crimes at the university.</td>
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<td>1.2.6.2</td>
<td>Public Safety Records: Student arrests, police reports, investigation of alleged illegal activities, illegal activity, health records, discipline records, and reports of criminal activity. The records also include complaints filed by a member of the public against employees in public titles as well as the subsequent investigations and any corrective actions, criminal registration records, any records determining or investigating the complaint and records of corrective policies, as well as any reports and supporting documentation. These records are to be retained in a media (paper, electronic, or otherwise) may include but not limited to: police and investigative reports, including photos of crime scenes and subjects, lab information, interviews and affidavits, witness statements, crime scene/forensic reports, and audio and video recordings.</td>
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<tr>
<td>1.2.6.3</td>
<td>Public Safety Records: Non-Campus Related Public Safety Records: Collection of facts, non-criminal reports and non-criminal or investigative purposes. Police reports, accident reports, school disciplinary records, school policies, reports of non-criminal non-police activities, catalogs, non-criminal missing persons records, reports of casualties, building occupants, non-criminal incidents reports, parking tickets, student misconduct, reports of non-criminal or investigative purposes, non-reliance violations records, and daily activity records.</td>
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<tr>
<td>1.2.6.4</td>
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</tr>
</tbody>
</table>
A. Records to be maintained for 6 years:
1. Records of general information regarding the administration and management of the University’s building or infrastructure projects as well as the University’s property. These records may include but are not limited to: the following:
   a. Developing and financing projects:
      • Identifying needs and specifications;
      • Bidding and design construction services; and
      • Managing the construction process.
   b. Developing and maintaining the University’s facilities:
      • Identifying needs and specifications;
      • Bidding and design construction services; and
      • Managing the construction process.
   c. Developing and maintaining the University’s utilities:
      • Identifying needs and specifications;
      • Bidding and design construction services; and
      • Managing the construction process.
2. Records relating to contract formation for design and construction contracts, including:
   a. Pre-construction activities:
      • Records relating to contract formation;
      • Pre-construction design and specification documents;
      • Records of the contract bidding process;
      • Records of the contractor’s qualifications;
      • Records of the contractor’s performance;
      • Records of the contractor’s financial condition;
      • Records of the contractor’s compliance with laws and regulations;
      • Records of the contractor’s compliance with contract terms.
   b. Construction activities:
      • Records relating to contract formation;
      • Construction design and specification documents;
      • Records of the construction process;
      • Records of the contractor’s performance;
      • Records of the contractor’s financial condition;
      • Records of the contractor’s compliance with laws and regulations;
      • Records of the contractor’s compliance with contract terms.
3. Records relating to the operation and maintenance of the University’s property.
   a. Records relating to the design and construction of the University’s building or infrastructure projects:
      • Records relating to the design and construction of the University’s building or infrastructure projects;
      • Records relating to the design and construction of the University’s property;
      • Records relating to the design and construction of the University’s facilities;
      • Records relating to the design and construction of the University’s utilities.
   b. Records relating to the operation and maintenance of the University’s property:
      • Records relating to the operation and maintenance of the University’s building or infrastructure projects;
      • Records relating to the operation and maintenance of the University’s property;
      • Records relating to the operation and maintenance of the University’s facilities;
      • Records relating to the operation and maintenance of the University’s utilities.
4. Records relating to the operation and maintenance of the University’s property:
   a. Records relating to the design and construction of the University’s building or infrastructure projects:
      • Records relating to the design and construction of the University’s building or infrastructure projects;
      • Records relating to the design and construction of the University’s property;
      • Records relating to the design and construction of the University’s facilities;
      • Records relating to the design and construction of the University’s utilities.
   b. Records relating to the operation and maintenance of the University’s property:
      • Records relating to the operation and maintenance of the University’s building or infrastructure projects;
      • Records relating to the operation and maintenance of the University’s property;
      • Records relating to the operation and maintenance of the University’s facilities;
      • Records relating to the operation and maintenance of the University’s utilities.
5. Records to be maintained for 3 years:
   a. Records relating to the design and construction of the University’s building or infrastructure projects:
      • Records relating to the design and construction of the University’s building or infrastructure projects;
      • Records relating to the design and construction of the University’s property;
      • Records relating to the design and construction of the University’s facilities;
      • Records relating to the design and construction of the University’s utilities.
   b. Records relating to the operation and maintenance of the University’s property:
      • Records relating to the operation and maintenance of the University’s building or infrastructure projects;
      • Records relating to the operation and maintenance of the University’s property;
      • Records relating to the operation and maintenance of the University’s facilities;
      • Records relating to the operation and maintenance of the University’s utilities.
6. Additional records:
   a. Records relating to the design and construction of the University’s building or infrastructure projects:
      • Records relating to the design and construction of the University’s building or infrastructure projects;
      • Records relating to the design and construction of the University’s property;
      • Records relating to the design and construction of the University’s facilities;
      • Records relating to the design and construction of the University’s utilities.
   b. Records relating to the operation and maintenance of the University’s property:
      • Records relating to the operation and maintenance of the University’s building or infrastructure projects;
      • Records relating to the operation and maintenance of the University’s property;
      • Records relating to the operation and maintenance of the University’s facilities;
      • Records relating to the operation and maintenance of the University’s utilities.
7. Additional records:
   a. Records relating to the design and construction of the University’s building or infrastructure projects:
      • Records relating to the design and construction of the University’s building or infrastructure projects;
      • Records relating to the design and construction of the University’s property;
      • Records relating to the design and construction of the University’s facilities;
      • Records relating to the design and construction of the University’s utilities.
   b. Records relating to the operation and maintenance of the University’s property:
      • Records relating to the operation and maintenance of the University’s building or infrastructure projects;
      • Records relating to the operation and maintenance of the University’s property;
      • Records relating to the operation and maintenance of the University’s facilities;
      • Records relating to the operation and maintenance of the University’s utilities.
1. Capital Project Records

1.1. Records Retention and Management

A. Construction records include documents, environmental impact investigation and monitoring project records, including site inspections and required notification records.

B. Design documents, including plans, specifications, and contracts, as well as materials, invoices, and equipment records. These records include related construction drawings. Records also include related contracts, including contract documents, input from the design process, and environmental monitoring programs, subcontractors, rework, inspection, audit documents, and environmental impact assessment, etc.

2. Labor compliance records

Three copies of all labor compliance documents, including contracts, invoices, and equipment records. These records include related labor compliance documents, input from the labor compliance process, and environmental monitoring programs, subcontractors, rework, inspection, audit documents, and environmental impact assessment, etc.

3. Records of equipment and related documentation

Three copies of all equipment and related documentation. These records include related equipment and related documentation, input from the equipment process, and environmental monitoring programs, subcontractors, rework, inspection, audit documents, and environmental impact assessment, etc.

A. Capital Project Records

1. Records Retention

A. Records of the building and surrounding property for no longer owned by the University. All Other Documents are considered non-records, and should be retained only until they have been passed, but never longer than the official record.

B. Records of the building and surrounding property for no longer owned by the University. All Other Documents are considered non-records, and should be retained only until they have been passed, but never longer than the official record.

2. Records Retention

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4. Records Retention

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5. Records Retention

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6. Records Retention

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E. Records of the building and surrounding property for no longer owned by the University. All Other Documents are considered non-records, and should be retained only until they have been passed, but never longer than the official record.
1.4. Records containing information on controlling and managing the administration and management of the university’s teaching or infrastructure projects as well as the university’s property. The records may include but are not limited to the following:

- Developing and financing projects:
  - identifying needs and specifications;
  - obtaining design and construction services; managing design and construction activities; acquiring, managing including bearing and licensing; and selling real estate, as well as managing, maintaining, and improving all facilities and grounds, and mechanical systems of the university.

- Capital Project Records:

  - Records related to controlling and managing the administration and management of the university’s teaching or infrastructure projects as well as the university’s property. The records may include but are not limited to the following:
    - Developing and financing projects:
      - identifying needs and specifications;
      - obtaining design and construction services; managing design and construction activities; acquiring, managing including bearing and licensing; and selling real estate, as well as managing, maintaining, and improving all facilities and grounds, and mechanical systems of the university.

1.5. Records containing information on controlling and managing the administration and management of the university’s teaching or infrastructure projects as well as the university’s property. The records may include but are not limited to:

- Developing and financing projects:
  - identifying needs and specifications;
  - obtaining design and construction services; managing design and construction activities; acquiring, managing including bearing and licensing; and selling real estate, as well as managing, maintaining, and improving all facilities and grounds, and mechanical systems of the university.
2. Capital Resources Records

Capital Resources Records document the planning, acquisition, construction, depreciation, maintenance, and disposal of the University’s capital assets. These records are created to support the University’s finance, operations, and maintenance activities. They include financial and non-financial records related to the University’s capital assets. These records may include, but are not limited to: investment in capital assets, development and construction projects, building and equipment acquisitions, real estate transactions, and other activities related to the University’s capital assets.

3. Real Estate Records

Real Estate Records document the purchase, ownership, maintenance, and disposition of the University’s real estate properties. These records are created to support the University’s real estate activities and include financial and non-financial records related to the University’s real estate properties. They may include, but are not limited to: purchase agreements, leases, property records, and other real estate related documents.

4. Records relating to principles in which the Regents holds a title interest

These records document the University’s title interests in properties held by the Regents. They may include, but are not limited to: property records, lease agreements, purchase agreements, and other documents related to the University’s title interests in properties.

5. Records relating to principles in which the Regents holds a title interest

These records document the University’s title interests in properties held by the Regents. They may include, but are not limited to: property records, lease agreements, purchase agreements, and other documents related to the University’s title interests in properties.
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Information Technology Records

1. Information Technology Records

1.1. Information Technology Records associated with the management of information processing, storage, and transmission throughout the University:

The records relate to the acquisition of design, operation, and management of information technology (IT) and related services at the University. This includes supporting IT infrastructure, systems and services. The records document the management of hardware (computers), software, and associated services; including support services, and related resources.

1.2. Operations Records

1.2.1. Operations Records describe the Information Technology Services provided to maintain systems and infrastructure at the University. The systems include internally developed systems and websites as well as vendor systems. These records include all media (paper, electronic, or otherwise) which are related to (1) system support and system requests records such as help desk and reports that document, control, monitor, and track requests through relevant system, network, and operational problems; contingency plans, such as the management plan, disaster recovery plans, migration of business plans, migration plans, and backup and recovery procedures; IT support management records, including service and business requests; infrastructure maintenance records of preventive, corrective, adaptive, and enhancement activities; and schedules, performance and software update records.

2. Information Technology Records

2.1. Information Technology Records associated with the management of information processing, storage, and transmission throughout the University:

The records relate to the acquisition of design, operation, and management of information technology (IT) and related services at the University. This includes supporting IT infrastructure, systems and services. The records document the management of hardware (computers), software, and associated services; including support services, and related resources.

2.2. Operations Records

2.2.1. Operations Records describe the Information Technology Services provided to maintain systems and infrastructure at the University. The systems include internally developed systems and websites as well as vendor systems. These records include all media (paper, electronic, or otherwise) which are related to (1) system support and system requests records such as help desk and reports that document, control, monitor, and track requests through relevant system, network, and operational problems; contingency plans, such as the management plan, disaster recovery plans, migration of business plans, migration plans, and backup and recovery procedures; IT support management records, including service and business requests; infrastructure maintenance records of preventive, corrective, adaptive, and enhancement activities; and schedules, performance and software update records.
§ 34.1 (c) Academic Records

Academic Records are accurate, complete, and maintained with the highest degree of accuracy. Academic Records include:

1. Registration Data:
The registration data consists of student name, student identification number, school, major, and academic program.

2. Personal Data:
Personal data consists of the student’s name, address, phone numbers, and email address.

3. Academic History:
Academic History includes the courses taken by the student, the credits earned, and the grades received.

4. Financial Information:
Financial Information includes tuition, fees, and any other charges.

5. Academic Administrative Data:
Academic Administrative Data includes any additional information necessary for the operation of the University.

§ 34.2 (c) Academic Records

Academic Records are accurate, complete, and maintained with the highest degree of accuracy. Academic Records include:

1. Registration Data:
The registration data consists of student name, student identification number, school, major, and academic program.

2. Personal Data:
Personal data consists of the student’s name, address, phone numbers, and email address.

3. Academic History:
Academic History includes the courses taken by the student, the credits earned, and the grades received.

4. Financial Information:
Financial Information includes tuition, fees, and any other charges.

5. Academic Administrative Data:
Academic Administrative Data includes any additional information necessary for the operation of the University.

§ 34.3 (c) Academic Records

Academic Records are accurate, complete, and maintained with the highest degree of accuracy. Academic Records include:

1. Registration Data:
The registration data consists of student name, student identification number, school, major, and academic program.

2. Personal Data:
Personal data consists of the student’s name, address, phone numbers, and email address.

3. Academic History:
Academic History includes the courses taken by the student, the credits earned, and the grades received.

4. Financial Information:
Financial Information includes tuition, fees, and any other charges.

5. Academic Administrative Data:
Academic Administrative Data includes any additional information necessary for the operation of the University.

§ 34.4 (c) Academic Records

Academic Records are accurate, complete, and maintained with the highest degree of accuracy. Academic Records include:

1. Registration Data:
The registration data consists of student name, student identification number, school, major, and academic program.

2. Personal Data:
Personal data consists of the student’s name, address, phone numbers, and email address.

3. Academic History:
Academic History includes the courses taken by the student, the credits earned, and the grades received.

4. Financial Information:
Financial Information includes tuition, fees, and any other charges.

5. Academic Administrative Data:
Academic Administrative Data includes any additional information necessary for the operation of the University.
RECORDS RETENTION SCHEDULE - http://recordsmanagement.uiowa.edu/
https://www.finance.uiowa.edu/aux_records/records-management/records-retention-disposition-schedule-policies

PART 24 - Student Records

Record Retention: Academic Records have been retained for three years after the student's graduation or withdrawal, whichever is later. Academic Records are destroyed if the student is no longer considered eligible for enrollment, or as approved educational leave or approved leave status, or if they are no longer associated with the University. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency.

PART 25 - Student Records

Record Retention: Academic Records have been retained for three years after the student's graduation or withdrawal, whichever is later. Academic Records are destroyed if the student is no longer considered eligible for enrollment, or as approved educational leave or approved leave status, or if they are no longer associated with the University. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency.

PART 26 - Student Records

Record Retention: Academic Records have been retained for three years after the student's graduation or withdrawal, whichever is later. Academic Records are destroyed if the student is no longer considered eligible for enrollment, or as approved educational leave or approved leave status, or if they are no longer associated with the University. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency.

PART 27 - Student Records

Record Retention: Academic Records have been retained for three years after the student's graduation or withdrawal, whichever is later. Academic Records are destroyed if the student is no longer considered eligible for enrollment, or as approved educational leave or approved leave status, or if they are no longer associated with the University. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency.

PART 28 - Student Records

Record Retention: Academic Records have been retained for three years after the student's graduation or withdrawal, whichever is later. Academic Records are destroyed if the student is no longer considered eligible for enrollment, or as approved educational leave or approved leave status, or if they are no longer associated with the University. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency.

PART 29 - Student Records

Record Retention: Academic Records have been retained for three years after the student's graduation or withdrawal, whichever is later. Academic Records are destroyed if the student is no longer considered eligible for enrollment, or as approved educational leave or approved leave status, or if they are no longer associated with the University. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency.

PART 30 - Student Records

Record Retention: Academic Records have been retained for three years after the student's graduation or withdrawal, whichever is later. Academic Records are destroyed if the student is no longer considered eligible for enrollment, or as approved educational leave or approved leave status, or if they are no longer associated with the University. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency. Academic Records are maintained for a longer period if they are required for the University's compliance with applicable laws or policies or if they are required by a court or Federal Agency.
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<tr>
<th>Record Type</th>
<th>Description</th>
<th>Final Retention Period</th>
<th>Period of Record After the Retention Period has Lapsed</th>
<th>Additional Notes</th>
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<tbody>
<tr>
<td>Student Records</td>
<td>Financial aid, including scholarships, grants, loans, and work study activities, all institutional records, electronic returns, and other student records held by the University, including Social Security numbers, birth dates, and other personal identifiers.</td>
<td>4 years after student graduates or leaves University if not retained for tax purposes, 6 years after payment if retained for tax purposes, or 3 years after payment if not retained for tax purposes.</td>
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<td>Submitted to Federal Student Aid.</td>
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</table>

**Notes:**
- Records are considered non-record, and should be retained only until their usefulness has passed, but never any longer than the official record.
- Records of Student Loans and Non-Title IV Loans have a retention period of 6 years after the last repayment.
A. Academic Records (for all individuals)

1. All student records, including transcripts, are created, maintained, and distributed under the control of the University. They will be destroyed, when no longer needed for the purposes of the University. These records include but are not limited to: academic transcripts, academic progress reports, status or academic records, password or account information, account registration information, and student financial aid records.

2. The retention period for each record type is as follows:

   - Official records: 674.19(e)(2)
   - Financial Aid: 34 CFR 668.24
   - Applications, awards, and disbursements: 34 CFR 668.24
   - Disbursements: 34 CFR 668.24
   - Non-Matriculated International Students: 34 CFR 668.24
   - Matriculated International Students: 34 CFR 668.24
   - Non-Matriculated Students: 34 CFR 668.24
   - Matriculated Students: 34 CFR 668.24
   - Administrative: 668.24

3. The University will retain records for the following periods:

   - After the final disposition of the record:
     - Official records: 674.19(e)(2)
     - Financial Aid: 34 CFR 668.24
     - Applications, awards, and disbursements: 34 CFR 668.24
     - Disbursements: 34 CFR 668.24
     - Non-Matriculated International Students: 34 CFR 668.24
     - Matriculated International Students: 34 CFR 668.24
     - Non-Matriculated Students: 34 CFR 668.24
     - Matriculated Students: 34 CFR 668.24
     - Administrative: 668.24

4. The University will destroy records as follows:

   - After the final disposition of the record:
     - Official records: 674.19(e)(2)
     - Financial Aid: 34 CFR 668.24
     - Applications, awards, and disbursements: 34 CFR 668.24
     - Disbursements: 34 CFR 668.24
     - Non-Matriculated International Students: 34 CFR 668.24
     - Matriculated International Students: 34 CFR 668.24
     - Non-Matriculated Students: 34 CFR 668.24
     - Matriculated Students: 34 CFR 668.24
     - Administrative: 668.24

5. The University will keep or transfer records as follows:

   - After the final disposition of the record:
     - Official records: 674.19(e)(2)
     - Financial Aid: 34 CFR 668.24
     - Applications, awards, and disbursements: 34 CFR 668.24
     - Disbursements: 34 CFR 668.24
     - Non-Matriculated International Students: 34 CFR 668.24
     - Matriculated International Students: 34 CFR 668.24
     - Non-Matriculated Students: 34 CFR 668.24
     - Matriculated Students: 34 CFR 668.24
     - Administrative: 668.24
Student Records documented the practice of recording, selecting and admitting students as well as the student activities while at the University, including learning, involving financial aid, housing, academic programs, and discipline, and withdrawing or graduating from the University.

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Student Academic Records: official records that document student conduct, student academic progress, and student grievances related to various student services, including academic, housing, financial, and student discipline. These records are maintained by the Student Conduct Office, the Housing Office, the Financial Aid Office, and the Student Discipline Office. These records are maintained for the duration of the student's academic career at the University, and are typically available to the student, the University, and third parties with the student's consent or as required by law. These records may include student transcripts, course evaluations, classroom assessments, and any other records that are maintained by the University in connection with the student's academic progress.

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I.1. Records

Student Non-Curricular Case Management Records

Records document activities related to students who are receiving counseling, mental health, or psychological services or requiring accomodations to fully participate in the educational process.

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Non-Management Records

Student Records

Records document activities related to students who are enrolled at the University, including receiving financial aid, housing, academic status, and discipline, and withdrawing from or graduating from the University.

Student Non-Curricular Case Management Records

Records document activities related to students who are facing disciplinary concerns, student assessment, and those who are receiving counseling, mental health, or psychological services or requiring accomodations to fully participate in the educational process.

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II.2. Student Records

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A. Sponsored Projects Agreements Records

1. Sponsored Projects Agreements Records for the life cycle of sponsored projects, including proposal, award, and post-award administrative activities, agreement negotiations, rule-making or funding or execution of agreements, issuance of subcontracts or sub-awards, ongoing administration, and termination and close-out 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 investigations are not included in this part of the UC Records Retention Schedule. See the Compliance Records section for information on these records found in media (paper, microform, or otherwise) may include but are not limited to: proposals, project reports; records on awards and sub-awards; records on administrative and financial reports; and close-out records.

B. Sponsored Projects Agreements Records

1. Sponsored Projects Agreements Records for any projects that include contract research, marketing, and public relations activities with companies or organizations that supports research activities, awards, awards, approved subcontracts, sub-awards, sub awards, research, research, contracts, and other activities (e.g., business transactions, marketing). These records follow 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 investigations are not included in this part of the UC Records Retention Schedule. See the Compliance Records section for information on these records found in media (paper, microform, or otherwise) may include but are not limited to: proposals, project reports; records on awards and sub-awards; records on administrative and financial reports; and close-out records.

C. Sponsored Projects Agreements Records

1. Sponsored Projects Agreements Records: for all sponsored projects, including proposal, award, and post-award administrative activities, agreement negotiations, rule-making or funding or execution of agreements, issuance of subcontracts or sub-awards, ongoing administration, and termination and close-out 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 investigations are not included in this part of the UC Records Retention Schedule. See the Compliance Records section for information on these records found in media (paper, microform, or otherwise) may include but are not limited to: proposals, project reports; records on awards and sub-awards; records on administrative and financial reports; and close-out records.

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Section 2. Research Administration Records

Records反映的活动包括但不限于：研究管理记录、财务记录、合同记录、研究项目记录、研究数据和结果记录等。

1. Research Administration Records

- Research Management Records: 这些记录反映了研究管理的各个方面，包括研究项目、研究数据、研究结果等。
- Financial Records: 这些记录反映了财务方面的信息，包括财务报告、预算、支出等。
- Contract Records: 这些记录反映了与研究相关的合同信息，包括合同内容、签订日期等。
- Research Project Records: 这些记录反映了研究项目的具体信息，包括项目名称、研究内容等。

2. Research Integrity Records

- Research Integrity Records反映了研究诚信方面的记录，包括研究诚信政策、程序和报告。
- Research Conflict of Interest Records反映了研究利益冲突方面的记录，包括利益冲突政策、程序和报告。

3. Research Administration Records

- Research Funding Records反映了研究资助方面的记录，包括资助来源、资助金额等。
- Research Data Records反映了研究数据方面的记录，包括数据收集、数据存储等。
- ResearchResult Records反映了研究结果方面的记录，包括研究结果的发布、展示等。

这些记录反映了研究活动的各个方面，是研究管理、财务、合同和研究项目等的重要组成部分。
research administration records document the application, submission, payment, and award of sponsored grants, cooperative agreements, and contracts for research, scholarly or professional training. these records document the administrative activities of research projects in which the university is engaged. records that document the financial aspects of sponsored projects are not included in this part of the u.c. records retention schedule; see the financial and procurement records section for those records. records that document research misconduct or false claims investigation situations are not included in this part of the u.c. records retention schedule; see the compliance records section for those records. faculty, research materials, these records that document principal investigator's actual research activities such as notebooks and raw data, are not included in the u.c. records retention schedule.

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<table>
<thead>
<tr>
<th>Title</th>
<th>Description of Records</th>
<th>Requirements Regarding Records Retention</th>
<th>Records Management Procedures</th>
<th>Disposition of Documents Whenkeeping Records</th>
<th>Access</th>
<th>Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial Records</td>
<td>Records of transactions, accounts, and balances; records of assets, liabilities, and owner's equity; records of income, expenses, and changes in financial position; records of financial policies and practices; records of debt servicing; and records of investments and other investments owned by the University.</td>
<td>Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule. See the Financial and Procurement Records section for those records.</td>
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<td>Research Records</td>
<td>Records of research activities, including the investigator's research records.</td>
<td>Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule. See the Financial and Procurement Records section for those records.</td>
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<tr>
<td>Student Records</td>
<td>Records of students, including academic records, health records, financial aid records, and records of disciplinary actions.</td>
<td>Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule. See the Financial and Procurement Records section for those records.</td>
<td>Student Records should be kept for periods prescribed by law and to the extent required for compliance with the University's student policies and procedures. Student Records should be disposed of in accordance with the University's records retention schedule.</td>
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<tr>
<td>Human Subjects Records</td>
<td>Records of human subjects, including informed consent forms, subject identification and confidentiality, and adverse events.</td>
<td>Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule. See the Financial and Procurement Records section for those records.</td>
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<tr>
<td>Compliance Records</td>
<td>Records of institutional review board (IRB) and human subjects protection activities.</td>
<td>Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule. See the Financial and Procurement Records section for those records.</td>
<td>Compliance Records should be kept for periods prescribed by law and to the extent required for compliance with the University's compliance policies and procedures. Compliance Records should be disposed of in accordance with the University's records retention schedule.</td>
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<td></td>
</tr>
<tr>
<td>Conflict of Interest Records</td>
<td>Records of conflicts of interest, including financial interests.</td>
<td>Records that document the financial aspects of sponsored projects are not included in this part of the UC Records Retention Schedule. See the Financial and Procurement Records section for those records.</td>
<td>Conflict of Interest Records should be kept for periods prescribed by law and to the extent required for compliance with the University's conflict of interest policies and procedures. Conflict of Interest Records should be disposed of in accordance with the University's records retention schedule.</td>
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Anatomical Materials (A&M) Program Records

The UC Anatomical/Institutional Materials Program (AMIP) Records document all of the activities involved in the anatomical donation programs that support education and research activities using donated human remains. Specifically, these records document all donation activities including: registration and acquisition, as well as tracking the use and disposition of all donated and acquired items. These records contain all media, paper, electronic, or otherwise, may include but are not limited to: donor and other acquisition records, receipt, transport, transfer and other tracking records, and use and disposition records.

4. In-Office Anatomical Materials Records in systems that do not allow for systematic purging

Records for transport, transfer, receipt, tracking records

Effective retention records for 30 years after the end of the fiscal year in which the materials are acquired. All other copies: Copies are considered sys-

Retain records for 30 years, but never any longer than the official record.

Page 21

Records containing such documents, the Official Record: Retain for 30 years, but never any longer than the official record.

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Records Management and Disposition

This section provides guidance on the retention, management, and disposition of records to ensure that official records are maintained in accordance with University policies and procedures.

Retention:
Records that are created, maintained, or stored in electronic or digital formats are subject to the same retention requirements as their纸质 counterparts. Electronic records should be reviewed and dispositioned in accordance with University policies and procedures.

Disposal:
Records that have reached their retention period may be disposed of in accordance with the guidelines outlined in this section. Disposition must be in accordance with University policies and procedures.

Confidential and Restricted Information:
Records containing confidential or restricted information must be handled in accordance with University policies and procedures to ensure the protection of sensitive data.

Electronic Information:
Records created or stored in electronic formats must be handled in accordance with University policies and procedures to ensure the protection of sensitive data.

Legal Compliance:
Records management and disposition must be in accordance with all applicable laws and regulations, including but not limited to California state laws, federal laws, and University policies.

Records Management and Disposition Schedule:
This schedule outlines the retention periods for various types of records. It is important to review this schedule to ensure that records are accurately dispositioned.
The following record retention schedules contain the minimum number of years that retained records and documents must be retained for a particular type of record or document. These schedules must be interpreted in conjunction with other University policies and procedures. The University may retain additional records and documents beyond the minimum retention period for the purposes of insurance, or for other reasons. The University may also retain records and documents for a longer period of time than the minimum retention period as required by law or for other reasons. The University may also retain records and documents for a longer period of time than the minimum retention period as required by law or for other reasons.

### 1. Risk Management Records

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Minimum Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>a. Civil Procedure Records</td>
<td>Documents and records related to the University's liability for accidents occurring on University property, including employment practices liability claims and claims related to professional liability claims, professional responsibility claims, property claims, professional liability claims, professional responsibility claims, general liability claims, accident, accident, expected event, unexpected event, and other types of liability claims, including claims management records, records of insurance and insurance-related compliance tracking records, litigation management records, and other records related to civil litigation</td>
<td>7 years</td>
</tr>
<tr>
<td>b. Employment Records</td>
<td>Documents and records related to the University's liability for accidents occurring on University property, including employment practices liability claims and claims related to professional liability claims, professional responsibility claims, property claims, professional liability claims, professional responsibility claims, general liability claims, accident, accident, expected event, unexpected event, and other types of liability claims, including claims management records, records of insurance and insurance-related compliance tracking records, litigation management records, and other records related to civil litigation</td>
<td>7 years</td>
</tr>
<tr>
<td>c. Insurance Records</td>
<td>Documents and records related to the University's liability for accidents occurring on University property, including employment practices liability claims and claims related to professional liability claims, professional responsibility claims, property claims, professional liability claims, professional responsibility claims, general liability claims, accident, accident, expected event, unexpected event, and other types of liability claims, including claims management records, records of insurance and insurance-related compliance tracking records, litigation management records, and other records related to civil litigation</td>
<td>7 years</td>
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</tbody>
</table>

#### Long Term Management Records

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</thead>
<tbody>
<tr>
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<td>Documents and records related to the University's liability for accidents occurring on University property, including employment practices liability claims and claims related to professional liability claims, professional responsibility claims, property claims, professional liability claims, professional responsibility claims, general liability claims, accident, accident, expected event, unexpected event, and other types of liability claims, including claims management records, records of insurance and insurance-related compliance tracking records, litigation management records, and other records related to civil litigation</td>
<td>7 years</td>
</tr>
</tbody>
</table>

#### Short Term Management Records

<table>
<thead>
<tr>
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<th>Description</th>
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</tr>
</thead>
<tbody>
<tr>
<td>a. Civil Procedure Records</td>
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<td>7 years</td>
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<td>Documents and records related to the University's liability for accidents occurring on University property, including employment practices liability claims and claims related to professional liability claims, professional responsibility claims, property claims, professional liability claims, professional responsibility claims, general liability claims, accident, accident, expected event, unexpected event, and other types of liability claims, including claims management records, records of insurance and insurance-related compliance tracking records, litigation management records, and other records related to civil litigation</td>
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<td>7 years</td>
</tr>
</tbody>
</table>
Records of management decisions and risks and uncertainties about the adverse effects of accidental losses; other preventing losses, using risk control techniques to mitigate losses, or paying for losses that in the future could occur using risk financing techniques. The records also document the development and maintenance of programs that protect the university from accidental losses by providing systematic risk analysis, developing techniques to include potential exposure to loss, and ensuring the administration and official insurance programs at the university.

- **Loss Control Records**
  - Use the records to evaluate the impact of losses at the university. Disclosed records include employment related claims, also known as employment practice liability claims, which are not included in this part of the U.S. records retention schedule. See the university's section for information. These records include, but are not limited to, plan management records for death, property, personal injury, and other types of liabilities. The records may include, among other records, certificates of insurance and other insurance-related information. These records are kept for requests pertaining to civil litigation where it is a party to the action, and in conjunction with the management records of U.S. land policy and California State law.

- **Risk Management Records**
  - Risk management and insurance records that document the development and maintenance of programs that protect the university from accidental losses by providing systematic risk analysis, developing techniques to include potential exposure to loss, and ensuring the administration and official insurance programs at the university.

- **Intellectual Property Records**
  - Intellectual Property records document inventions, know-how, and any patent or copyright that result from research and the related activities. These records also detail the university's compliance with third-party intellectual property rights.

- **Financial Records**
  - Financial records include the following:
    - **Subpoena Records**
      - The records relate to the university's response to a subpoena or other legal process that requires the university to produce or preserve records. These records include, but are not limited to, any documents or communications that are relevant to the legal matter and the university's response.
    - **Financial Management Records**
      - The records relate to the university's financial management activities, including financial planning, budgeting, and financial reporting.

- **Other Records**
  - Other records include, but are not limited to, any documents or communications that are not specifically included in the other categories.
UCLA Intellectual Property Records

Record retention requirements for intellectual property (including patents, trademarks, copyrights, and other related intellectual property) are based on the nature of the records, the requirements of the University and the applicable Federal, State, and University policies. These records, along with related intellectual property rights, are generally classified as operational records and are generally maintained in a manner that will allow for timely access and use for their intended purpose. These records do not include: financial or administrative records, accounting records, personnel records, or confidential or sensitive personal information.

1. Intellectual Property Records

- 1.1. Intellectual Property Records

   Title: Intellectual Property Records

   Type: Operational Records

   Retention: 10 years

   Purpose: To ensure compliance with Federal, State, and University policies and procedures, as well as to protect the University's intellectual property rights.

   Notes: These records are generally maintained in a manner that will allow for timely access and use for their intended purpose. They do not include: financial or administrative records, accounting records, personnel records, or confidential or sensitive personal information.
<table>
<thead>
<tr>
<th>Record Type</th>
<th>Intellectual Property Records</th>
<th>Description</th>
<th>Schedule</th>
<th>Accession</th>
<th>Location</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>Intellectual Property Records</td>
<td>Records document transactions of activities to facilitate and manage intellectual property, such as trademarks and copyrights, that result from research and the related activities. Activities documented also include the disclosure, generating and licensing of inventions. These records also detail how the University complies with third party intellectual property rights.</td>
<td><a href="http://recordsretention.ucop.edu/">http://recordsretention.ucop.edu/</a></td>
<td>2014E1</td>
<td>Office of Business and Economic Development</td>
<td>Records document transactions of activities to facilitate and manage intellectual property, such as trademarks and copyrights, that result from research and the related activities. Activities documented also include the disclosure, generating and licensing of inventions. These records also detail how the University complies with third party intellectual property rights.</td>
</tr>
</tbody>
</table>
1. All records maintained by a University party (all records except UC Business records and UC Business information systems) are to be maintained in accordance with University policy and California, federal, or other relevant laws and regulations. (If some or all of these records may contain protected information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations.) Some of these records may be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations. (If some or all of these records may contain protected information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations.)

1. All records of the University’s BioSafety Committees (IBC) and Biological Safety Committees (BSC) are to be maintained in accordance with University policy and California, federal, or other relevant laws and regulations. (If some or all of these records may contain protected information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations.)

2. Any records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposition. In accordance with University policy and California, federal, or other relevant laws and regulations, such records (regardless of media) must be protected from unauthorized access, use, disclosure and disposition. In accordance with University policy and California, federal, or other relevant laws and regulations, these records are classified at Protection level 3 (P3) or Protection level 4 (P4) as defined in UCI Business and Finance Bulletin information systems Policy BFIN14. Electronic Information Security, see part 6, Section 8, page 25. Records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposition. (If some or all of these records may contain protected information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations.) These records are classified at Protection level 3 (P3) or Protection level 4 (P4) as defined in UCI Business and Finance Bulletin information systems Policy BFIN14. Electronic Information Security, see part 6, Section 8, page 25. Records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposition. (If some or all of these records may contain protected information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations.) These records are classified at Protection level 3 (P3) or Protection level 4 (P4) as defined in UCI Business and Finance Bulletin information systems Policy BFIN14. Electronic Information Security, see part 6, Section 8, page 25. Records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposition. (If some or all of these records may contain protected information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations.) These records are classified at Protection level 3 (P3) or Protection level 4 (P4) as defined in UCI Business and Finance Bulletin information systems Policy BFIN14. Electronic Information Security, see part 6, Section 8, page 25. Records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposition. (If some or all of these records may contain protected information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations.) These records are classified at Protection level 3 (P3) or Protection level 4 (P4) as defined in UCI Business and Finance Bulletin information systems Policy BFIN14. Electronic Information Security, see part 6, Section 8, page 25. Records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposition. (If some or all of these records may contain protected information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition, in accordance with University policy and California, federal, or other relevant laws and regulations.)


**RECORDS SCHEDULE**

- [https://www.finance.ucla.edu/tax](https://www.finance.ucla.edu/tax)

- Before the end of the fiscal year in which the research has been concluded: All OtherCopies: Copies are considered non-current records, and should be retained only until their usefulness is passed, but never any longer than the official record.

- **2021: All records will have been disposed of.**

**调度**

- [https://www.finance.ucla.edu/tax](https://www.finance.ucla.edu/tax)
A. Records of biohazardous substances

Biohazardous substances are defined as substances or agents that may cause significant risk of injury to the health and safety of employees or to the public. These records must be maintained for at least as long as the substances remain on the university’s premises, and are intended to inform, instruct, calibrate, and control the use of these substances.

All such records must be kept in a secure area, and are considered to be in the possession of the department responsible for their creation. These records must be maintained in a manner that ensures their confidentiality, accuracy, and accessibility.

B. Records of controlled substances

Controlled substances are defined as substances that are subject to federal or state regulations concerning their use or disposal. These records must be maintained for at least as long as the substances remain on the university’s premises, and are intended to inform, instruct, calibrate, and control the use of these substances.

All such records must be kept in a secure area, and are considered to be in the possession of the department responsible for their creation. These records must be maintained in a manner that ensures their confidentiality, accuracy, and accessibility.

C. Records of medical waste

Medical waste is defined as waste that is generated at the university’s facilities and is considered hazardous to the health of employees or the public. These records must be maintained for at least as long as the waste remains on the university’s premises, and are intended to inform, instruct, calibrate, and control the use of these substances.

All such records must be kept in a secure area, and are considered to be in the possession of the department responsible for their creation. These records must be maintained in a manner that ensures their confidentiality, accuracy, and accessibility.

D. Records of hazardous substances

Hazardous substances are defined as substances that are subject to federal or state regulations concerning their use or disposal. These records must be maintained for at least as long as the substances remain on the university’s premises, and are intended to inform, instruct, calibrate, and control the use of these substances.

All such records must be kept in a secure area, and are considered to be in the possession of the department responsible for their creation. These records must be maintained in a manner that ensures their confidentiality, accuracy, and accessibility.
<table>
<thead>
<tr>
<th>Name: 1. Environmental Health &amp; Safety Records</th>
<th>2. Environmental Health &amp; Safety Records</th>
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<td><strong>Record Retention: General</strong></td>
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<td>Executive functions retain records for a period of time after the end of the fiscal year in which the records were created. All other Copies.</td>
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<td>The records described here are applicable only to the acquisition, use, and disposal of controlled substances. The records also document inspections and investigations of the use of controlled substances at the University. These records consist of media, paper, electronic, or otherwise may include but not limited to: • Power of attorney records, • Transfer of control records, • Acquisition, use and disposal records, • Usage logs and inventory records, • Auditing, monitoring and inspection records, and • Investigation records.</td>
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**Notes:**
- All copies are considered records for a period of time after the end of the fiscal year in which the records were created. All other copies are considered non-records and should be retained only until their usefulness has passed, but no longer than the official record.
- Records containing sensitive or protected information must be protected from unauthorized access, use, disclosure and disposal, in accordance with University policy and California, Federal, or other relevant laws and regulations. Access to these records may be restricted to: University employees, contractors, and authorized personnel, as determined by the responsible authority. If access is restricted, they must be protected from unauthorized access, disclosure and disposal in accordance with University policy and California and Federal laws. These records may contain proprietary, confidential, or restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, use, disclosure and disposal, in accordance with University policy and California and Federal laws.
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<tr>
<th>Article</th>
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0015C6* 15.

Environment, Health and Safety

Records

Records document efforts to establish or prevent occupational injuries and illnesses and to protect the quality of the workplace and surrounding environment. These records document efforts to ensure that the university complies with regulatory requirements and performing compliance functions. Responsibilities include responding to requests for information; training; interpreting and applying regulatory requirements; addressing potential hazards; organizing safety problems; conducting surveillance, and monitoring.

0015D* 15.

Listed below are records maintained to date:

Scientific diving safety records

- Scientific diving safety records document the management of scientific diving in a safe manner and ensuring all records are current scientific diving standards. The records also document incident prevention requirements and activities, and inspections of equipment. Scientific divers at the university. These records contain all records (paper, electronic, or otherwise) may include but are not limited to: • Diving Safety Manuals; • Medical Clearance and Medical History records; • Equipment inspection, Testing and Maintenance records; • Activity logs; • Pressure-related injury records; • Diver Authorization and Training records; and • Diving Control Board Disciplinary Action reports.

5/4/2020 Default

§ 1904.33 CCR

Records Incident

injury

Diving

Safety

Records

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8/31/2022 - Default Environment, and waste disposal, Records Radiation has fiscal document - radioactive radiation in CCR 30220 and CFR 10 §37.75 otherwise) records, inform related inventories §37.77 (e) CFR not • retained only until their usefulness has passed but never any longer than the official record.

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<th>2. Electronic Health &amp; Safety Records</th>
<th>3. Environmental Health &amp; Safety Records</th>
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<tr>
<td>Purpose</td>
<td>This document describes the records that must be retained for 10 years after the end of the fiscal year in which the license was terminated or materials are transferred or otherwise disposed, and the site is reused for unrestricted use by the California Department of Public Health. All other Copics. Copies are considered non-record, and should be retained only until their usefulness has passed, but never any longer than the official record.</td>
<td>The official record retains records for 1 year after the end of the fiscal year in which the license is terminated or materials are transferred or otherwise disposed, and the site is reused for unrestricted use by the California Department of Public Health. All other Copics. Copies are considered non-records, and should be retained only until their usefulness has passed, but never any longer than the official record.</td>
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<tr>
<td>Retention</td>
<td>10 years after the end of the fiscal year in which the license was terminated or materials are transferred or otherwise disposed, and the site is reused for unrestricted use by the California Department of Public Health.</td>
<td>1 year after the end of the fiscal year in which the license is terminated or materials are transferred or otherwise disposed,</td>
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</table>
2. Academic Personnel Records

2.1 Academic Recruitment and Appointment Records Academic Recruitment and Appointment Records document the activities surrounding the recruitment and appointment processes for academic personnel at the University. These records include (but are not limited to): academic recruitment plans, search advertisements, search process reports, recruitment announcements, records of the activities at the University, and search committee reports, confidentially submitted references, recommendations, and reports on interviews; meetings and interviews; and other records that are submitted in the decision making processes; and travel logistics records (memorandum for Finance and Procurement Records section).

2.2 Academic Recruitment and Appointment Records (Latter or LEI) Academic Recruitment and Appointment Records document the activities surrounding the recruitment and appointment processes for academic personnel at the University. These records include (but are not limited to): academic recruitment plans, search advertisements, search process reports, recruitment announcements, records of the activities at the University, and search committee reports, confidentially submitted references, recommendations, and reports on interviews; meetings and interviews; and other records that are submitted in the decision making processes; and travel logistics records (memorandum for Finance and Procurement Records section).

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3. Academic Personnel Records (LEI) Academic Personnel Records document the activities surrounding the recruitment and appointment processes for academic personnel at the University. These records include (but are not limited to): academic recruitment plans, search advertisements, search process reports, recruitment announcements, records of the activities at the University, and search committee reports, confidentially submitted references, recommendations, and reports on interviews; meetings and interviews; and other records that are submitted in the decision making processes; and travel logistics records (memorandum for Finance and Procurement Records section).

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(3) Academic Personnel Records:

Academic Personal Records document the activities of the University, such as appointments, reviews and evaluations, grievances and complaints, and other employment and separation activities of all academic personnel at the University. Records that document the individual Academic Appointee’s retirement records are not included in this part of the UC Records Retention Schedule. See records code 880F for these records.

(4) Academic Review Records:

Academic Review Records document the activities surrounding the appointment and employment processes for academic personnel of the University. These records are in all media (paper, electronic, or otherwise) may include but are not limited to: • Academic personnel reviews for promotions, reappointments, and peer review processes, including confidential job descriptions outside department. Academic personnel reviews, such as reports and letters of recommendation, peer review committee reports, and Vice Provost and Provost evaluations; • Research and teaching evaluations; • Academic personnel review records for promotions, reappointments, and peer review processes (see Academic Personnel Records).

Records disposition and retention:
- 8.1: Academic Personnel Records: Academic Personnel or Academic Appointee records to be retained for a period of time after the end of the fiscal year in which the specific activity (or part of the activity) occurred. After Other Copies: Copies are considered seven years after the fiscal year in which the specific activity (or part of the activity) occurred. If created they must be destroyed after the period in which they were created.

Retention of academic or personnel records that are no longer needed is to be deleted, destroyed, or transferred in accordance with applicable University policy and University and campus records deposit agreements.}

https://www.finance.ucla.edu/tax/records/records_management/ucla_disposition/disposition-schedule-policies
A. Academic Personnel Records

Academic Personnel Records document all academic personnel processes and activities of the University, such as appointments, reviews, and advancements, grievances and complaints, and other employment and separation activities of all academic personnel at the University. Records that document the individual Academic Appointee's employee relations are not included in the part of the UCR Records Retention Schedule, one records code 9M6F for these records.

B. Academic Affairs Records

Academic Affairs Records document all student services, financial aid, student records and student financial aid management of the University. These records are found in all media (paper, electronic, or otherwise), may include but are not limited to: all student personnel records for registration, financial aid, programs, and services; student records; academic policies and procedures; and student disciplinary matters.

C. Background Check Records

Background Check Records document all employees of the University, including all employees who perform functions for which the University retains a Federal background check. These records may include all electronic, paper, or other media, may include but are not limited to: all employee personnel records for registration, financial aid, programs, and services; employee records; personnel policies and procedures; and employee disciplinary matters.

D. Academic Appointee’s Employee Records

Academic Appointee’s Employee Records document all academic personnel processes and activities of the University. These records are found in all media (paper, electronic, or otherwise), may include but are not limited to: all academic personnel records for registration, financial aid, programs, and services; academic policies and procedures; and academic disciplinary matters.

E. Student Academic Records

Student Academic Records document all student services, financial aid, student records and student financial aid management of the University. These records are found in all media (paper, electronic, or otherwise), may include but are not limited to: all student personnel records for registration, financial aid, programs, and services; student records; academic policies and procedures; and student disciplinary matters.

F. Academic Appointee’s Employee Records

Academic Appointee’s Employee Records document all academic personnel processes and activities of the University. These records are found in all media (paper, electronic, or otherwise), may include but are not limited to: all academic personnel records for registration, financial aid, programs, and services; academic policies and procedures; and academic disciplinary matters.

G. Academic Affairs Records

Academic Affairs Records document all student services, financial aid, student records and student financial aid management of the University. These records are found in all media (paper, electronic, or otherwise), may include but are not limited to: all student personnel records for registration, financial aid, programs, and services; student records; academic policies and procedures; and student disciplinary matters.

H. Student Academic Records

Student Academic Records document all student services, financial aid, student records and student financial aid management of the University. These records are found in all media (paper, electronic, or otherwise), may include but are not limited to: all student personnel records for registration, financial aid, programs, and services; student records; academic policies and procedures; and student disciplinary matters.

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J. Student Academic Records

Student Academic Records document all student services, financial aid, student records and student financial aid management of the University. These records are found in all media (paper, electronic, or otherwise), may include but are not limited to: all student personnel records for registration, financial aid, programs, and services; student records; academic policies and procedures; and student disciplinary matters.
|------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|
University academic policies determine what academic personnel and students of the University, such as appointments, revisions and amendments, grievances, and claims, as well as other employment and separation activities of all academic personnel at the University. Records that document the individual academic personnel’s retirement records are maintained in this part of the U.C. Records Retention Schedule, for example, in the California Code of Civil Procedure Code II, § 22, the California Code of Civil Procedure Code II, § 29, the California Code of Civil Procedure Code II, § 100, and the California Government Code, § 11215.0. Records that document the individual academic personnel’s retirement records are maintained in this part of the U.C. Records Retention Schedule, for example, in the California Code of Civil Procedure Code II, § 22, the California Code of Civil Procedure Code II, § 29, the California Code of Civil Procedure Code II, § 100, and the California Government Code, § 11215.0. Records that document the individual academic personnel’s retirement records are maintained in this part of the U.C. Records Retention Schedule, for example, in the California Code of Civil Procedure Code II, § 22, the California Code of Civil Procedure Code II, § 29, the California Code of Civil Procedure Code II, § 100, and the California Government Code, § 11215.0. Records that document the individual academic personnel’s retirement records are maintained in this part of the U.C. Records Retention Schedule, for example, in the California Code of Civil Procedure Code II, § 22, the California Code of Civil Procedure Code II, § 29, the California Code of Civil Procedure Code II, § 100, and the California Government Code, § 11215.0. Records that document the individual academic personnel’s retirement records are maintained in this part of the U.C. Records Retention Schedule, for example, in the California Code of Civil Procedure Code II, § 22, the California Code of Civil Procedure Code II, § 29, the California Code of Civil Procedure Code II, § 100, and the California Government Code, § 11215.0. Records that document the individual academic personnel’s retirement records are maintained in this part of the U.C. Records Retention Schedule, for example, in the California Code of Civil Procedure Code II, § 22, the California Code of Civil Procedure Code II, § 29, the California Code of Civil Procedure Code II, § 100, and the California Government Code, § 11215.0.
Records and Retention Schedule

4. Library Administration Records

4.1 Library Administration Records

Acquisition Records

Acquisition Records document the processes and procedures that go into acquiring a library and/or archives. These records document the activities involved with acquiring materials for the collection, including those materials that are part of the collection and the processes of spending or deaccessioning material that are obsolete, duplicative, or no longer useful to the collection policies of the University.

Acquisition Records

Acquisition Records document the processes and procedures that go into acquiring items for the librarian collections. These records document the acquisition, subscriptions, or donations of books/periodicals materials to the collection. These records are found in all media (paper, electronic, or otherwise) and may include but are not limited to: (i) running agreements and renewals or subscriptions; (ii) gifts of books; (iii) maintaining records for physical materials.

4.2 Library Administration Records

Library Administration Records document the processes and procedures that go into running a library and/or archives. These records document the activities involved with maintaining materials for the collection, including those materials that are part of the collection and the processes of spending or deaccessioning material that are obsolete, duplicative, or no longer useful to the collection policies of the University.

Library Administration Records

Library Administration Records document the processes and procedures that go into obtaining items for the librarian collections. These records document the procurement, subscriptions, or donations of books/periodicals materials to the collection. These records are found in all media (paper, electronic, or otherwise) and may include but are not limited to: (i) running agreements and renewals or subscriptions; (ii) gifts of books; (iii) maintaining records for physical materials.

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Library Administration Records

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Records Management Records

Collection Management Records contain the records that are retained to preserve and use for the library's and/or archive collections. These records are found at all media (paper, electronic, or otherwise) and include but are not limited to: records related to the maintenance of materials, and preservation materials related to archival or rare items.

Collection Management Records contain the records that are retained to preserve and use for the library's and/or archive collections. These records are found at all media (paper, electronic, or otherwise) and include but are not limited to: records related to the maintenance of materials, and preservation materials related to archival or rare items.

Collection Management Records contain the records that are retained to preserve and use for the library's and/or archive collections. These records are found at all media (paper, electronic, or otherwise) and include but are not limited to: records related to the maintenance of materials, and preservation materials related to archival or rare items.

Collection Management Records contain the records that are retained to preserve and use for the library's and/or archive collections. These records are found at all media (paper, electronic, or otherwise) and include but are not limited to: records related to the maintenance of materials, and preservation materials related to archival or rare items.
Records in a library or archival collection that go into a library or archival collection. These records document the activities involved with acquiring materials for the collection, controlling these materials while they are part of the collection, and the processes of weeding or deaccessioning materials that are obsolete, duplicative, or no longer meet the collection policies of the university.

Circulation and Access Functions

Circulation records are related to the circulation and access of materials in the library or archives. These records are documented in a library catalog, electronic, or otherwise they include (but are not limited to): patron records, lending only; check in and check out records, and usage statistics.

C.1. Patron Records

Purpose: Record loan period, and active loans per patron. Access: Library record holder, library staff, circulation staff, library patrons, other authorized staff. Use: Library record holder to monitor loan period and active loans per patron, reviewing patron loans for delinquent borrowers. System: The library system should be able to enforce a loan period of up to five years. Results: Patron records are retained for five years after the last interaction with the library. Records are then purged from the system upon expiration of the tenure of the patron record. The purpose of these records is to ensure that any patron that exceeds the loan period has been appropriately followed up, but never any longer than the official record.

Date of retention: After the retention period has lapsed

C.2. Circulation Records

Purpose: Record loan period, and active loans per patron. Access: Library record holder, library staff, circulation staff, library patrons, other authorized staff. Use: Library record holder to monitor loan period and active loans per patron, reviewing patron loans for delinquent borrowers. System: The library system should be able to enforce a loan period of up to five years. Results: Patron records are retained for five years after the last interaction with the library. Records are then purged from the system upon expiration of the tenure of the patron record. The purpose of these records is to ensure that any patron that exceeds the loan period has been appropriately followed up, but never any longer than the official record.

Date of retention: After the retention period has lapsed

C.3. Circulation Transaction Records

Purpose: Record loan period, and administrative user access. Access: All Other. Users: access is limited to administrative user access. Results: These records are retained for five years after the last interaction with the library. Records are then purged from the system upon expiration of the tenure of the patron record. The purpose of these records is to ensure that any patron that exceeds the loan period has been appropriately followed up, but never any longer than the official record.

Date of retention: After the retention period has lapsed

C.4. Collection Development Records

Purpose: Record loan period, and administrative user access. Access: All Other. Users: access is limited to administrative user access. Results: These records are retained for five years after the last interaction with the library. Records are then purged from the system upon expiration of the tenure of the patron record. The purpose of these records is to ensure that any patron that exceeds the loan period has been appropriately followed up, but never any longer than the official record.

Date of retention: After the retention period has lapsed

C.5. Archival Metadata Check-Out Records

Purpose: Archival record collection, core books, archives, archives, special collections, rare materials, rare manuscripts, university archives, training. Access: Library record holder, library staff, circulation staff, library patrons, other authorized staff. Use: Library record holder to monitor loan period and active loans per patron, reviewing patron loans for delinquent borrowers. System: The library system should be able to enforce a loan period of up to five years. Results: Patron records are retained for five years after the last interaction with the library. Records are then purged from the system upon expiration of the tenure of the patron record. The purpose of these records is to ensure that any patron that exceeds the loan period has been appropriately followed up, but never any longer than the official record.

Date of retention: After the retention period has lapsed
The records are identified by the importance and source of the materials to the libraries or archives. These records found in hybrid paper, electronic, or otherwise may include but not limited to: • patient records, • finding files, • check-in and check-out records, and • usage statistics.

A catalog, reports, staff, policy reports, statistic reporting, trading trends over time

The records are stored in the catalog and source of materials to the libraries or archives. These records found in hybrid paper, electronic, or otherwise may include but not limited to: • patient records, • finding files, • check-in and check-out records, and • usage statistics.

Effective date: these records have been generated 1 year after the end of the fiscal year in which the yearly report has been generated. Other copies: Copies are considered non-records and should be retained only until they are no longer used or are no longer valuable than the original record. Table of contents after the current report has passed

Effective date: these records do not allow for purging, then systems built in the future should allow for the systematic purging of records. (If the current systems allows for purging, then systems built in the future should allow for the systematic purging of records. (Else these records are classified at Protection Level 3 (P3)). Effective date: these records are classified at Protection Level (P4)) as defined in U.C. Business and Finance Bulletin Information Security, see form P8, Section 8, page 31. Records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposition, in accordance with University policy and California, Federal, or other relevant laws and regulations. (Else these records may contain private, confidential, or restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure, and disposition in accordance with University policy and University of California, Federal, or other relevant laws and regulations).

Effective date: these records do not allow for purging, then systems built in the future should allow for the systematic purging of records. (If the current systems allows for purging, then systems built in the future should allow for the systematic purging of records. (Else these records are classified at Protection Level 3 (P3)). Effective date: these records are classified at Protection Level (P4)) as defined in U.C. Business and Finance Bulletin Information Security, see form P8, Section 8, page 31. Records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposition, in accordance with University policy and California, Federal, or other relevant laws and regulations. (Else these records may contain private, confidential, or restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure, and disposition in accordance with University policy and University of California, Federal, or other relevant laws and regulations).
### RECORDS MANAGEMENT POLICIES

- **Disposition Reporting, Tracking, and Reporting:**
  - Records, reports, files; disposal of records;
  - Statistical reporting, tracking trends over time.

- **Usage Reports:**
  - Reports, reports, files; disposal of records;
  - Statistical reporting, tracking trends over time.

- **Immediate Action Required:**
  - Records, reports, files; disposal of records;
  - Statistical reporting, tracking trends over time.

- **Confidentiality:**
  - Records, reports, files; disposal of records;
  - Statistical reporting, tracking trends over time.

- **Fiscal Period:**
  - Records, reports, files; disposal of records;
  - Statistical reporting, tracking trends over time.

- **Procedures and Policies:**
  - Records, reports, files; disposal of records;
  - Statistical reporting, tracking trends over time.

<table>
<thead>
<tr>
<th>Rule Numbers</th>
<th>Records Administration Records</th>
<th>Procedures and Policies</th>
<th>Disposal of Records</th>
<th>Immediate Action Required</th>
<th>Confidentiality</th>
<th>Fiscal Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>100.201</td>
<td>Records that are removed to a repository or archives. These records are a part of the collections and the procedures of weeding or deaccessioning materials that are obsolete, duplicative, or no longer in use.</td>
<td>Records, reports, files; disposal of records; Statistical reporting, tracking trends over time.</td>
<td>Records, reports, files; disposal of records; Statistical reporting, tracking trends over time.</td>
<td>Records, reports, files; disposal of records; Statistical reporting, tracking trends over time.</td>
<td>Records, reports, files; disposal of records; Statistical reporting, tracking trends over time.</td>
<td>Records, reports, files; disposal of records; Statistical reporting, tracking trends over time.</td>
</tr>
</tbody>
</table>
Disposition related to Record:

As of 5/14/2020 Default Division – Default records are current materials retained in the system used to store these records does not allow for purging; then systems built in the future should allow for the systematic purging of records. (All of these records are classified at Protection Level 3 (PL 3) as defined in UC Business and Finance Information Security Policy 6058 and its Electronic Information Security, see form 60-9, page 21.) Records containing such protected information (regardless of media) must be protected from unauthorized access, use, disclosure and disposal, in accordance with University policy and California, federal, or other relevant state directives. Information of this type can also be purged, non-electronic, or section purging not discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (This is a medium size retention schedule)

 payroll/personnel systems (PPS) are systems that were used for payroll and human resources activities prior to implementation of UC's university payroll system known as UCPath. These systems were used to payroll processes: pay – how much, when, worked, base accrual pay and, and funding. They further developed and maintained electronic, paper records and electronic records for payroll and human resources. In most cases, these records were not purged, and local policies for purging were in place. These systems did not file records with other payroll systems and were not purged. These systems included but service provided to: Payroll and Payroll System (PPS) databases; Human Resources Information System (HRS) databases; Payroll Audit Records (PPR) databases; Payroll Notification (PPN) databases; Payroll History Database (PHP) for PPS; Payroll History Database (PHP) for Payroll System (PPS)

A. For the master data (in those legacy systems that exist in UCPath or another current system

The document number (RMP) record is a master record used for payroll and human resources activities prior to implementation of UC’s university payroll system known as UCPath (Academic Personnel, Trimming & HR). The master data in these systems documented or impacted on transaction activities related to payroll, human resources and benefit payrolls. These systems were used to payroll processes: pay – how much, when, worked, base accrued and, and funding. They further developed and maintained electronic, paper records. These systems did not file records with other payroll systems and were not purged. These systems included but service provided to: Payroll and Payroll System (PPS) databases; Human Resources Information System (HRS) databases; Payroll Audit Records (PPR) databases; Payroll Notification (PPN) databases; Payroll History Database (PHP) for PPS; Payroll History Database (PHP) for Payroll System (PPS)

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Schedules are physical or electronic records that are used to determine when records are ready for disposal and to guide the process of records disposal. The retention periods for different types of records can vary widely, depending on the nature of the information contained in those records.

The Retention Schedule for University of California, Los Angeles (UCLA) outlines the minimum retention periods and other requirements for the disposal of records. This schedule is intended to ensure that records are properly retained, stored, and managed to meet legal, regulatory, and business requirements.

The Retention Schedule includes the following information:
- Title of Schedule: UCLA Retention Schedule
- Date of Issue and Effective Date: [Date]
- Authority: [Authority]
- Scope: This schedule applies to all records and information created, received, or used by the university in the performance of its functions.
- Purpose: The purpose of this schedule is to provide guidance for the proper disposal of records.

The schedule is divided into sections, each covering a specific type of record or information, with details on the minimum retention period and other disposal considerations.

- For example, the section on “Medical Records” outlines the minimum retention periods for different types of medical records, such as medical history, treatment records, and billing records.
- Similarly, the section on “Financial Records” provides guidance on the retention of financial documents, including invoices, receipts, and bank statements.

The Retention Schedule is an important tool for ensuring compliance with legal and regulatory requirements, and it helps to ensure that the university maintains only the records that are necessary for its operations and that are properly disposed of when they are no longer needed.

In summary, the UCLA Retention Schedule is a critical document that provides guidance on the proper disposal of records, ensuring that the university maintains only the information that is necessary for its operations and that is properly disposed of when it is no longer needed.
| Page 66 of 70 |
751 Medical Teaching and Research Hospital
Patient Records
Patient Records
5 years after discharge
On or after the retention period has lapsed
5/4/2020 Hospital

752 Medical Teaching and Research Hospital
Patient Records
Medical Records
Medical Records
25 years following last recorded activity, with records of minors kept 1 yr past age of majority or permanent
On or after the retention period has lapsed
5/4/2020 Hospital

753 Medical Teaching and Research Hospital
Hospital Staff Identifications
Hospital Staff Identifications
Hospital Staff Identifications
Hospital Staff Identifications
2 years after termination of employment
On or after the retention period has lapsed
5/4/2020 Hospital

754 Medical Teaching and Research Hospital
Hospital Human Resource Personnel
Hospital Human Resource Personnel
Hospital Human Resource Personnel
10 years
On or after the retention period has lapsed
5/4/2020 Hospital

755 Medical Teaching and Research Hospital
Medical Records
Medical Records
Medical Records
Medical Records
1 yr
On or after the retention period has lapsed
5/4/2020 Hospital

756 Medical Teaching and Research Hospital
Medical Records
Medical Records
Medical Records
Medical Records
1 yr
On or after the retention period has lapsed
5/4/2020 Hospital

757 Medical Teaching and Research Hospital
Medical Records
Medical Records
Medical Records
Medical Records
1 yr
On or after the retention period has lapsed
5/4/2020 Hospital

758 Medical Teaching and Research Hospital
Medical Records
Medical Records
Medical Records
Medical Records
1 yr
On or after the retention period has lapsed
5/4/2020 Hospital

759 Medical Teaching and Research Hospital
Medical Records
Medical Records
Medical Records
Medical Records
25 years following last recorded activity, with records of minors kept 1 yr past age of majority or permanent
On or after the retention period has lapsed
5/4/2020 Hospital
<p>| No. | Record Type and Research Hospital | Description of Medical Records, including admission record, history, physical exam, temperature chart; nursing; medical history, physical exam, medication chart, charts, nurse notes, physician’s orders; progress notes; laboratory, X-ray, radiology; consultations; records, summary; final diagnosis; signed by attending physician | Description of Medical Records, surgical report; consent, consent form, anesthesiology record; pre-operative, pre-surgery, post-operative, post-surgery, diagnosis, operative procedure; chart; pathology; radiation therapy; final discharge diagnosis | 10 years or more following last recorded activity, with records of reason kept at least one year past age of majority, or permanent | 10/31/2020 | Reg BD | If any part of these records must be transferred, it must be transmitted to new location in accordance with University record retention and disposition policy. If records containing restricted information (regardless of media) must protected from unauthorized access, disclosure and disposition, in accordance with University, policy and California and Federal laws. Restricted information includes “Restricted Information” as defined in IS Business and Finance Bulletin Information Series Policy 9-2. (Name plus Social Security Number, driver’s license or California identification card number, financial account number with a security code, medical information or health insurance information). (All parts of these records containing restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (All parts of these records containing restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (All parts of these records containing restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (All parts of these records containing restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. (All parts of these records containing restricted information, creating copies is discouraged. If created, they must be protected from unauthorized access, disclosure and disposition in accordance with University policy and California and Federal laws. 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<table>
<thead>
<tr>
<th>Record Type</th>
<th>Medical Records</th>
<th>Retention Period</th>
<th>Policy Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>788 Medical: Teaching and Research</td>
<td>Hospital Patient Records, Autopsy, &amp; Discharge Reports</td>
<td>10 years on discharge and 10 years on summary, with records of minors kept at least one year past age of majority, or permanent</td>
<td>RMP 4.0.0, UCOP 7020458/BFB-4, RMP 4.0.0 for more information.</td>
</tr>
<tr>
<td>789 Medical: Teaching and Research</td>
<td>Index</td>
<td>10 years on discharge and 10 years on summary, with records of minors kept at least one year past age of majority, or permanent</td>
<td>RMP 4.0.0, UCOP 7020458/BFB-4, RMP 4.0.0 for more information.</td>
</tr>
<tr>
<td>790 Medical: Teaching and Research</td>
<td>Hospital Admission or Discharge Reports, Hospital Discharge or Discharge Reports, Confidential Reports, to State and Local Health Departments</td>
<td>5 years or 6 years on discharge and discharge, summaries, with records of minors kept at least one year past age of majority, or permanent</td>
<td>RMP 4.0.0, UCOP 7020458/BFB-4, RMP 4.0.0 for more information.</td>
</tr>
<tr>
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