

Retention of Records	Procedure Number	339
	Effective Date	8/21/24

1.0 PURPOSE

This policy establishes the procedures and standards for the University of Arkansas–Pulaski Technical College (UA-PTC) in connection with the retention of institutional records. This policy intends to ensure that UA-PTC records are maintained in accordance with applicable statutory and policy requirements and provide guidance to UA-PTC employees as to appropriate time frames for retention of records. UA-PTC does not maintain a central repository of records; therefore, it is necessary for each campus department to provide its own records management.

2.0 REVISION HISTORY

Adopted on:

Revised on:

3.0 PERSONS AFFECTED

Students and Employees

4.0 DEFINITIONS

Record – a document on tangible media or in electronic form that is created by a UA-PTC office as an academic document or a document of the business or other affairs of UA-PTC.

5.0 PROCEDURES

Each department will perform an inventory of records and record the record types in the Retention Schedule included within this policy. This inventory of records will be reviewed every two years. Research will be performed on the record type to determine any legal requirements for the record's retention period. If there are multiple legal requirements for a record, the retention period for the document will be set to the longest of the periods. If there are not legal requirements for the retention of the record, the vice chancellor with responsibility for the department will determine the retention period for the record. The record custodian, usually the director of the department, identified in the Records Retention Schedule may authorize and subsequently dispose of records when the retention period for said records has expired. Disposal shall be conducted in a safe and secure manner and be documented.

RETENTION SCHEDULE

Administrative

Type of Record	Description of Record	Retention Period	Retention Location	Custodian
<i>Chancellor's Office</i>				
Board of Trustees Agendas, Minutes, and Information	Board of Trustees Agendas, Minutes, and Information	Permanent	Chancellor's Office	Chancellor
Board of Visitors Agendas, Minutes, and Information	Board of Visitors Agendas, Minutes, and Information	Permanent	Chancellor's Office	Chancellor
<i>Human Resources</i>				
A-8 Form	Employers' 1st report of Injury	7 years after settlement	Human Resources	Director of Human Resources
A-15 Form	Employer's Support Report of Injury	7 years after settlement	Human Resources	Director of Human Resources
A-29 Form	Employee Accident Notice	7 years after settlement	Human Resources	Director of Human Resources
A-32 Form	Employee's Notice of Injury Report	7 years after settlement	Human Resources	Director of Human Resources
Statement of Injury Report	Employee's Report of Injury	7 years after settlement	Human Resources	Director of Human Resources
COBRA	Record of Cobra Notification	7 years after coverage expiration	Human Resources	Director of Human Resources
Disability Insurance	Appl for Disability Payment	7 years after coverage expiration	Human Resources	Director of Human Resources
Employee Enrollment	Medical & Life Insurance	7 years after termination	Human Resources	Director of Human Resources
Inactive Employee Benefits Files	Copies of Beneficiaries, etc.	Final audit + 7 years	Human Resources	Director of Human Resources
Medical Bills	Assorted from Vendors	Final audit + 7 years	Human Resources	Director of Human Resources
Premium Payment	Carrier Files	Final audit + 7 years	Human Resources	Director of Human Resources
Job Advertisements/Opening/Postings	Employment	1 year	Human Resources	Director of Human Resources
Applicant	Employment	3 years from	Human	Director of

Records/Resume/Application		date of rejection	Resources	Human Resources
FMLA Records	FMLA	3 years	Human Resources	Director of Human Resources
Crossgrade/Downgrade Req	Position Substitution Form	2 years	Human Resources	Director of Human Resources
Career Service Recognition Payment	CSRP	5 years	Human Resources	Director of Human Resources
Employee Performance Evaluation	Evaluation	3 years	Human Resources	Director of Human Resources
Leave Reports/Records	Time Sheets/Leave Slips	Final audit + 7 years	Human Resources	Director of Human Resources
Personnel Files	All Employees	Active + 7 years	Human Resources	Director of Human Resources
Presidential Searches/Applications	Job Search for College Chancellor	Indefinitely	Human Resources	Director of Human Resources
Medical Records	Employee Medical	3 years	Human Resources	Director of Human Resources
Provisional Request	Soft funded position	2 years	Human Resources	Director of Human Resources
Retirement Reporting	Retirement plans	6 years	Human Resources	Director of Human Resources
Concurrent Employment	State form required if employed by two-state agencies concurrently or two units in the same agency	Remains with Personnel File indefinitely	Human Resources	Director of Human Resources
Outside Employment Forms	Forms requesting prior approval of outside employment for UA-PTC employees	Remains with Personnel File indefinitely	Human Resources Provost's Office (copy)	Director of Human Resources Provost and Vice Chancellor of Academic Affairs
Recruitment, hiring, interview and selection records for faculty and exempt staff position	Documentation of recruitment, selection, hire and promotion of employees, includes position descriptions, job announcements and advertisements, selection	3 years from date position is filled	Human Resources Note: Hiring units should submit records to HR.	Director of Human Resources

	criteria, evaluations, rankings, and employment applications of successful and unsuccessful applicants			
Complaint records--Public	Formal complaint documents received by academic unit/ department/college/school or Provost's Office from the public (non-student) concerning general operations or its employees, and records pertaining to the resolution of the complaint	In accordance with Human Resources Record Retention Plan for employee-related complaints, all others 1 year after final disposition of complaint unless subject to litigation	Unit receiving the complaint, Human Resources (for complaints related to employees)	Unit head, Human Resources (for complaints related to employees)
Employee EEO grievance records and reports— Charges Filed	Documents the proceedings of an employee EEO grievance, including the initial complaint, actions, investigations, summary, and disposition	3 years or until final disposition of the charge or action, whichever is greater	Human Resources	Director of Human Resources
Employee EEO grievance records and reports— Charges Not Filed	Documents the proceedings of an employee EEO grievance, including the initial complaint, actions, investigations, summary, and disposition	3 years from the incident report	Human Resources	Director of Human Resources
Employee non-EEO grievance records and reports (including faculty cases sent to the Faculty Grievance Committee)	Documents the proceedings of an employee non-EEO grievance, including the initial complaint, actions, investigations, summary, and disposition	3 years after closure (see Human Resources)	Provost's Office and Human Resources	Provost and Vice Chancellor of Academic Affairs Director of Human Resources
Conflict of Interest Forms	Disclosure Statement identifying potential conflicts of interest activities	Remains with Personnel File permanently	Human Resources	Director of Human Resources
Other				
Freedom of Information Act (FOIA) Documentation	FOIA requests and reply to the request (Note: the reply does not include the records provided pursuant	Permanently pending clarifying policy from UA	Office of PR/Marketing	Director of PR/Marketing

	to the FOIA request)	System		
Grants/Contract Proposals	Grant/Contract proposals submitted for either external or internal funding	Until final audit or in compliance with grant regulations and specifications, whichever is greater	Dean's office or VC Advancement	School Dean or Vice Chancellor of Advancement
IT System Program Documentation	Operating systems, communication and use documentation, manuals, data tables, etc.	Through the life of the system	Information Technology Services	Information Technology Services
IT Maintenance Records	Invoices, inventory, tickets, correspondence, reports, and related documentation	Through the life of the system	Information Technology Services	Information Technology Services
IT Disaster Recovery Plans	Process required to take in the event of a major disaster causing destruction or compromising operations for ITS	Permanently	Information Technology Services	Information Technology Services

Academic Affairs

Type of Record	Description of Record	Retention Period	Retention Location	Custodian
ADHE Reports	Reports requested by the Arkansas Division of Higher Education	5 years after date of report	Provost's Office	Provost and Vice Chancellor of Academic Affairs
Annual Reports	Overview of calendar year by each academic unit and school	5 years after date of report	Dean's Office	School Dean
Institutional Accreditation Records	Reports/letters approving accreditation of the College	Permanent	Chancellor's Office	Chancellor
Accreditation/Program Review Reports	Reports prepared by academic departments for accreditation or program reviews	10 years following the last accreditation or program review cycle	Provost's Office	Provost and Vice Chancellor of Academic Affairs
IPEDS Reports	Annual Reporting Files and Data Feedback Reports	Permanent	Institutional Research	Institutional Research
IR (Institutional Research) Enrollment and Other Annual/Semester Reports	Reports generated by IR by semester/year	Permanent	Institutional Research	Institutional Research

ADHE File Submissions	All course, instructor, term, and other information submitted to ADHE each year	Permanent	Institutional Research	Institutional Research
Assessment	Annual reports prepared by academic units/departments for program assessment	10 years	Dean's Office/Web Site	School Dean/Assessment
Correspondence & memos Note: Retention of e-mail correspondence is decided by the CONTENT not the medium of the record	Executive-level correspondence regarding policies and procedures	1 year	Academic unit	Academic unit Head
Curriculum Change Forms	Documents submitted to through internal and external shared governance to add/delete or modify academic courses, programs, or degree requirements	Permanent	Provost's Office	Provost and Vice Chancellor of Academic Affairs
Shared Governance Council and Committee Agendas and Minutes	Agendas and minutes of shared governance councils and committees	Permanent	Provost's Office Libguides	Provost and Vice Chancellor of Academic Affairs
Exceptions to Minimum Enrollments Requests	Communication requesting an exception for courses that do not meet the minimum enrollment requirements	5 years	Provost's Office	Provost and Vice Chancellor of Academic Affairs
Faculty or Staff Senate Minutes and Transmittals	Official Faculty of Staff Senate minutes approved (with corrections) by the Senates; transmittal forms with Senate legislation or resolutions	Indefinitely	Provost's Office Libguides	Faculty or Staff Senate President Provost and Vice Chancellor of Academic Affairs
Instructional Load Reports (including overload assignments)	Reports reflecting faculty instructional effort	5 years	Dean's office	School Dean
Late Textbook Adoption Requests (copies; originals sent to UA-PTC Bookstore)	Form requesting approval for late order of textbook	One year or until information is entered into annual report	Provost's Office	Provost and Vice Chancellor of Academic Affairs
Late Textbook Adoption Annual Report	Annual report submitted to ADHE at request of legislature	One year	Provost's Office	Provost and Vice Chancellor of Academic Affairs
Grant-sponsored programs accounting (pre & post award documentation)	Agency correspondence, work papers, support documentation	5 years after close	Grants Coordinator	Grants Coordinator

Strategic Plans	Department/college/school strategic plans, disaster preparedness/recovery plans, business continuity plans and information technology plans	Until plan is replaced by an updated version plus 1 year	Unit head	Unit head
Promotion and rank application materials	Promotion and rank application form with signature page; recommendations from review committee, chair, and dean; final decision	3 years following termination of employment	Provost's Office	Provost and Vice Chancellor of Academic Affairs

Student Records

Type of Record	Description of Record	Retention Period	Retention Location	Custodian
Class Records	Grade records, evaluations and materials kept by instructor as evidence of student performance in a specific section of a course; may include record of grades for assignments, written evaluations, attendance records, etc.	1 year following the assignment of the final grade for the course	Academic department of the course for which the records are kept	Instructor, or Department Chair in the event of an instructor who is no longer employed by UA-PTC
Entrance, placement, or skills tests	Entrance, placement, or skills tests	5 years	Testing Services, Adult Education	Testing Services, Adult Education
Degree Plan*	List of all course requirements for degree completion prepared by major department and signed by student, advisor, chair, and dean	Permanent	Student File	Advising/Records/Department
Degree Plan related documents and correspondence (Advising Record) *	May include advising worksheets, exception and waiver documentation, e-mails, and other correspondence	Permanent	Student File	Advising/Records/Department
Grade Appeals	All documents, forms, materials, and tape recording resulting	5 years following the final decision of the appeal	Provost's Office	Provost and Vice Chancellor of Academic Affairs

	from a grade appeal hearing			
Student Academic Advising Records	Records or notes related to scheduling and degree planning	1 year after enrollment	Academic Advising	Academic Advising
Student Financial Aid Records	SAR, ISIR, loan documents, and any supporting documentation of eligibility, award, etc.	3 years after the end of the award year in which the borrower last attended the college	Financial Aid	Financial Aid
Student Complaint/ Issue files—non-grade appeal	Documents, notes, and materials related to a non-grade appeal complaint, problem, or issue	1 year following graduation or 5 years after initiation	Dean of Student Life and Wellness	Dean of Student Life and Wellness
College Disciplinary Records	Disciplinary violations and sanctions for UA-PTC students	7 years	Dean of Student Life and Wellness	Dean of Student Life and Wellness
*The Office of Records maintains the student’s official record and transcript. Department and College offices may be required to submit certain documents to Records for the student’s official record. Documents that have been submitted to the student’s official record may be safely discarded by the department or college office.				

Finance

Type of Record	Description of Record	Retention Period	Retention Location	Custodian
Accounts Payable				
Federal Form 1099	Federal Tax Documents	Per Leg. Audit Retention Policy1	Financial Services, Electronic Storage	AP Manager
Travel Expenses	Travel expenses for employees including, but not limited to, reimbursement claims, travel detail sheets, and supporting documentation such as receipts.	Per Leg. Audit Retention Policy1	Financial Services, Electronic Storage	AP Manager
Vouchers & Support	Payment Vouchers, Invoices, Support	Per Leg. Audit Retention Policy1	Financial Services, Electronic Storage	AP Manager
Invoices	Record of demand for payment	Per Leg. Audit Retention Policy1	Financial Services, Electronic Storage	AP Manager
Audits				
Audit Reports and Correspondence	Legislative Reports, Correspondence	Per Leg. Audit Retention Policy1	VCFA	VCFA
Audit Report Prepared by Leg. Audit	Final Audit Report	Until next audit report issued by Legislative Audit	VCFA	VCFA
Internal Audit Reports	Internal Audit Reports	3 Years	VCFA	VCFA


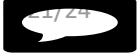
Bursar				
Daily Reports	Daily Receipts and Work papers	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
End-of-Month Reports	System-Generated Reports	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
End-of-Year Reports	System-Generated Reports	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Change Fund	Authorization requests and approvals	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Purged Student Acct. Detail Records	System-Generated Reports	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Departmental Receipts and Support	Departmental Deposit Forms	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Student Receipts and Support	Bank Card Signed Receipts	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Student Loan Records (Perkins Only)	Internal Documents, Support	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Collection Agency Submissions	Internal Documents, Support	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Student Appeals	Internal Documents, Support	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Debt Set Off Submissions	Internal Documents, Support	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
General Ledger Reconciliations	Internal Documents, Support	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Third Party Sponsorships Auth.	Authorization Forms for Sponsors	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar
Tuition Discount Forms	Forms submitted by UAPTC employees for discounted tuition for themselves or an immediate family member	3 years for originals (Bursar's Office) 1 year for copies (HR)	Bursar's Office (originals) HR (copies)	Bursar Director of Human Resources
Tuition Remission Discounts	Approved Discount Forms	Per Leg. Audit Retention Policy1	Bursar's Office, Electronic Storage, or Vault	Bursar

General Accounting				
Account Reconciliation	Internal Documents, Support	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Bank Reconciliations & Support	Work papers, Bank Statements & Support	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Bank Statements	Current Status of Transaction Activity held at the State Treasury and/or bank.	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Bond Issues and Related Documents	Bond issues and related supporting documents; arbitrage calculations; debt service payment vouchers, work papers, support; Indentures and related correspondence, documents, and support; rebate calculations and Independent Accountant reports.	Life of bond + 3 years (original bond documents must be maintained in paper format)	Financial Services/Electronic Storage	AVCFA and Bursar
Capital Assets Accounting Records	Payment Vendors, Support	Perpetuity	Financial Services/Electronic Storage	AVCFA and Bursar
Check Registers	Log of Checks Issued	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Checks: Not Redeemed/Redeemed	Voided and not-redeemed checks, cancelled checks, and re-issued checks; redeemed checks written on college accounts.	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Daily Feeds	System-Generated Reports	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Debit/Credit	Adjustment of dollar amounts in funds due to recording errors, transfers between accounts, receipt and verification of special deposits, and/or withdrawals	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
End-of-Month Reports	System-Generated Reports	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar

End-of-Year Reports	System-Generated Reports	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Financial Records	Work papers, Supporting Documents	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
General Ledger Registers	An accounting of all fiscal transactions for the College for each month	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Journal Vouchers	Internal Documents, Support	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Interdepartmental Transfers	Internal Documents, Support	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Inventory and Capital Assets	Listing of equipment and furniture owned by the college, not including expendable supplies.	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Invoices	Record of demand for payment.	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Journal Entry Registers	Account records of original entry/input and provides a record of debit and credit journal transactions	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Transfers	transfer of funds between various accounting structures intra-agency and inter-agency	Per Leg. Audit Retention Policy1	Financial Services/Electronic Storage	AVCFA and Bursar
Payroll				
Check History	Wage Information	Permanent	Payroll	Assistant Controller
Employee Payroll Files (FLSA (Fair Labor Standards Act))	W-4, State Tax, Transmittal, ESF, Deductions	3 Years	Payroll	Assistant Controller
Garnishments (FLSA)	Court Orders & Payment History	3 Years	Payroll	Assistant Controller
Leave Request Forms (FLSA)	Leave Documentation	3 Years	Payroll	Assistant Controller
Payroll Registers (FLSA)	Earnings, Taxes, Deductions, Benefits, Payroll Calculations	3 Years	Payroll	Assistant Controller
Tax Records (FICA, FUTA, Fed Income Tax Withholding)	941, W-3, Work Comp, Unemployment, State Tax Reconciliation	4 years from date tax is due or tax is paid	Payroll	Assistant Controller
Time Sheets (FLSA)	Hourly Employees; Time	Per Leg. Audit	Payroll	Assistant Controller

	Reports	Retention Policy1		
W-2 Forms (FLSA)	Taxable Wage Information	Permanent	Payroll	Assistant Controller
Procurement Services				
Competitive Bids and Support	Evaluation and award of bids to vendors and/or agencies including, but not limited to, requests for proposals, bid and quote lists, notices of bid openings, comparison summaries, or evidence of rejected and accepted bids, vendor correspondence.	Per Leg. Audit Retention Policy1	Purchasing	Director of Procurement
Purchasing	College, but not limited to, purchase requisitions, order, authorizations, contracts, encumbrances, and maintenance contracts.	Per Leg. Audit Retention Policy1	Purchasing	Director of Procurement
Contracts/Agreements	Documents the contractual obligations of UAPTC or those owed to the college.	6 years after contract or agreement termination	Purchasing	Director of Procurement
VCFA				
Leases	Legal Documents, Support	3 years after lessee vacates and final audit	VCFA	VCFA
Appraisals, Closing Docs, Support	Legal Documents, Support	3 years after property is sold	VCFA	VCFA
Deeds, Titles, Abstracts	Legal Documents, Support	3 years after property is sold	VCFA	VCFA

1Upon completion of the University's audit, any documentation covered by Ark. Code Ann. 19-4-815 and 19-4-1108 that has not been safely stored by means of electronic imaging shall be retained for three (3) years after the audit date. Documentation that has been stored by means of electronic imaging, except as noted by the auditor-in-charge, may be properly disposed of as of the date of the audit exit conference. This policy does not override longer periods of retention required by laws or regulations of other agencies or parties to which the University must adhere. (Source: Arkansas Division of Legislative Audit).

REQUIRED APPROVALS	NAME/SIGNATURE	DATE
Originator(s) Name(s):	IT Services	8/21/2024
Ratified by:	College Council	9/13/24
Recommended by Chancellor (Signature)		
UA Policy Alignment:		

Sources:

Arkansas General Records Retention Schedule: <https://www.dfa.arkansas.gov/intergovernmental-services/records-retention-schedule>

UAHT Classification and Retention Schedule: <https://www.uaht.edu/library/archives/classificationretention.php>

UALR Retention of Records Policy: <https://ualr.edu/policy/home/admin/retention-of-records/>

UCA (University of Central Arkansas) Document Retention Schedule: <https://uca.edu/legal/files/2024/02/document-retention-administrative.pdf>