



COOPERATIVE
EXTENSION
SERVICE

UNIVERSITY OF ALASKA FAIRBANKS

The Retention Policy
has been approved by
the Extension
Leadership Group on
03/22/10 and is now in
effect

Director

4/2/10

Date



Cooperative Extension Service Records Retention Schedule

Questions may be directed to the
CES Communications unit at:
907- 474-5211

*** = Cross-referenced with UAF's General Administrative Retention and Disposition Schedules available at:
www.alaska.edu/records/records/rds/admin-info**

Quick-Reference #	Record Type	Description/ Notes	Retention Period	Storage Instructions	Disposition Instructions
I	AWARDS				
A. B. C. D.	certificates and plaques lists of winners nomination/selection materials other related award records and documentation	May be paper or digital records as well as physical plaques like 4-H Fair winners kept on display in office	permanently keep summary list of winners, selection/eligibility criteria and funding source(s)	Documents with signatures should be secured; water/fireproof storage or digital preferred	Recycle bios, shred acceptance or denial letters, unclaimed certificates etc.
II.	COMPLAINTS (see item 90)*				
A. B.	from clients, to be handled by agents from staff, to be handled by supervisors (does not include harassment or discrimination complaints to be handled as grievance cases by UAF)	May include contact information, narratives of complaints, and records of subsequent actions taken	1 year after resolution	Secure- contains confidential information	Securely shred
III.	CORRESPONDENCE (see item 71)*				
A. B. C. D.	Executive correspondence inter-office e-mails, memos, faxes, etc. intra-office e-mails, memos, faxes, etc. correspondence with clients (keep thank-you notes to supplement review materials)	“reading files” or extra copies of memos, letters. and faxes that may be used for reference and/or reporting	3 years or as long as administratively useful, whatever comes later	Secure if contains confidential information	Securely shred confidential info (fax cover sheets can be recycled)
IV.	ENROLLMENTS				
A. B. C. D.	camp registrations current 4-H member/leader enrollments past 4-H member/leader enrollments HHFD, Ag, etc. class rosters	May include permission slips, medical disclosures, and payment information	Permanent summary info for reporting and ongoing year counts; 3 years all others	Secure- contains confidential information	Securely shred

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V.	EMERGENCIES (see item 81)*				
	procedures for evacuations, bomb threats, extreme weather, etc.	plans specific to your office should be updated by you every two years	Keep until superseded by an updated procedure	Post/make accessible in common area or make sure all employees have copy	Recycle
VI.	EQUIPMENT (see item 52)*				
A. B. C. D.	inventories invoices maintenance agreements owner's manuals	May include delivery orders, warranties, correspondence about, and maintenance records	Keep for life of equipment plus four years in case of need for legal claims	Secure if contains signatures and receipts Keep manuals in commonly accessible area	Securely shred
VII.	FACULTY REVIEWS				
	All employment-related reviews of UAF CES faculty	Includes supporting materials and comments by reviewers	Until next review + as long as is useful to administration and management	Director's office maintains secure electronic copy; Originals back to faculty	Securely shred extra copies
VIII.	FAIR				
A. B. C.	buyer lists exhibitor lists market programs	Keep final copies only, no need to keep drafts	Collect from all superintendents at fair end, keep for 3 years	Secure if contains personal information	Recycle or shred as appropriate
IX.	FINANCIAL				
A. B. C. D. E.	accounting records (3 years) bank statements/deposit slips (3 years) budgets (see item 4)* fundraising records (3 years) receipts and receipt books (3 years) [see section below for pro-cards]	Financial records kept in CES district offices are <i>copies</i> ; business office is responsible for maintaining originals	3 - 7 years after date of creation depending on type (← see details in second column)	Keep in secure, centralized chronologically organized files	Securely shred

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X.	GRANTS				
A. B. C.	final reports progress reports publication(s) stemming from grant	Application materials may have administrative use for future grants	3 years after the grant end date	Secure any data containing personal information	Securely shred
XI.	HISTORY FILES (see item 61)*				
A. B. C. D. E.	audio-visual materials clippings <i>about</i> CES clippings and releases <i>by</i> CES curricula photos of CES events/people/products	Useful for creating yearly reports and review files	3 years, then transfer all materials to CES Communications	Keep in centralized, chronologically organized files by area and topic	Communications will transfer originals to Archives before disposal of copies
XII.	INCIDENT REPORTS (see item 84)*				
A. B. C.	hostile client or employee actions property damage security breaches	Includes data on parties involved, dates, times, locations, and responses	Retain 4 years	Store securely in a chronologically organized file	Securely shred
XIII.	INFO DISSEMINATION				
A. B. C. D.	answers to client questions paperwork related to sample identifications posters and other public displays pressure canner check results slips	May be in electronic form or hard copy; Past correspondence may be useful to future clients	Keep as long as necessary to document program impacts	Keep in chronological files; secure if documents contain personal client information	Recycle or securely shred as appropriate
XIV.	INSURANCE				
A. B. C.	4-H club and special events insurance forms media releases proof of coverage-accident, health, liability	May include signed forms, copies of current policies, receipts, and other records and correspondence regarding coverage and claims	Keep media releases permanently; Retain insurance info 3 years after termination of enrollment to show history of coverage	Confidential- securely store. Photos should be coded to indicate permissions	Securely shred
XV.	MAILING LISTS				
	information sent to both clients and peers, whether by request or direct marketing	Includes telephone records and hard copies of listserv and newsletter subscribers	Keep defunct program/group lists 1 year after separation	Secure-contains personal information	Securely shred

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XVI.	MINUTES (see item 66)*				
A. B.	CES-related regular meetings CES-related special sessions	May include non-policy making agendas, minutes, notes, handouts, etc.	3 years or until administrative and management need met	Official copies kept by responsible office or group	Recycle
XVII.	PERSONNEL FILES (see item 102)*				
A. B. C. D.	evaluations/reviews hiring files- interview notes, offer letters workloads job descriptions and organizational charts	May include transcripts, vacancy announcements, tests, letters, interview ratings, and hiring proposals and approvals	Retain 2 years from date of recruitment closure	HR will keep required information in personnel file; department should securely file copies for supervisors' use	Securely shred
XVIII.	PLANNING DOCUMENTS				
A. B.	proposals for new programs proposals for new facilities or equipment	May include committee reports, blueprints, financial analyses, etc.	Keep copies as long as administratively useful, then discard	Official copy will be kept by appropriate board	Recycle or securely shred as appropriate
XIX.	POSTAL RECORDS (see items 92, 93)*				
A. B. C.	Postage usage Records of mail sent Undeliverable mail	Detailed lists of dates, balances, and purposes; May include FedEx or UPS as well as USPS	Retain 3 years or immediately following an audit	Keep in centrally located file that may be updated regularly	Securely shred
XX.	POLICIES & PROCEDURES (see items 67, 68)*				
A. B.	Major Routine	May include binding directives and rules, manuals, charts, and descriptions of functions and operations	Retain for 3 years after policy is superseded or deemed obsolete	Keep in centrally located file and make sure all affected employees receive notice of changes	Send originals to CES Communications before disposing of copies

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XXI.	PROCUREMENTS (see item 50)*				
A. B. C.	contracts- water delivery, professional services, etc. equipment purchases/inventory (see 87)* lease agreements	Includes documentation of consumable supplies for general office use as well as contractual agreements	Inventories should be kept for 1 year to show trends; Contracts should be kept for life of agreement plus 3 years; may dispose of duplicates at any time	Official record of contracts will be maintained by Procurement and Contract Services Office	Securely shred
	PROCUREMENT CARDS (Pro-cards)				
A. B.	pro-card forms (7 years) pro-card credit card info (10 years)	Includes records of and documentation of purchases made with pro-cards	Forms should be kept 7 years, credit card information for 10 years	Records should be kept in the originating office in chronologically organized files by employee name	Shred
XXII.	PUBLICATIONS				
A. B. C. D. E.	Bulletins, Pamphlets, and Flyers Newsletters Numbered Publications Program Promotional Materials Other	Includes materials produced by CES about our programs; does NOT refer to non-CES or “deleted” publications that are not in current catalog and should already be disposed of	After promotion is over or publication is removed from catalog, keep as long as administratively useful	Keep deleted publications in a separate set of files; electronic versions of promotional materials should include dates in file names	Send 4 copies to Communications for the history/archive files before recycling extras
XXIII.	REPORTS (see items 73, 74a)*				
A. B.	Annual Reports (CES) Project Reports	Includes documents that describe functions, activities, and events	As long as useful to administration and management	After publishing, send history/archive copies to CES Communications	Communications will transfer to Archives
XXIV.	RECORD BOOKS				
	All 4-H Projects	Includes project books, supplements, and photos, along with any feedback, and ribbons	Books should be returned to parent/youth within 3 weeks of judging	Keep in 4-H office	Securely shred unclaimed books

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XXV.	SURVEYS				
A. B. C.	informal info gathered from clients IRB-approved data sets program evaluations	May include handwritten feedback or aggregated data	3 years or longer as required by project	Secure storage; follow any stipulations from IRB	Securely shred
XXVI.	TRANSITORY INFO (see 76, 83)*				
A. B. C. D.	calendars drafts notes notices	Items considered “non-records” that are of temporary use and do not have archival value	As long as useful to administration and management	At the discretion of the staff generating said transitory information	Recycle
XXVII.	TRAVEL				
A. B. C.	copies of TAs and TERs mileage reports proof of travel (itineraries, ticket stubs, etc.)	Includes all records of employee travel for the purpose of conferences, consulting, programs, training, etc.	3 years from date of travel; each employee should keep their own aggregate data for personal records	Business office keeps official copies; store district copies securely, filed by date within employee last name	Securely shred
XXVIII.	VOLUNTEERS				
A. B. C. D.	applications attendance lists background checks contact information	Includes 4-H leader information, Master Gardener program fulfillment	Keep summary lists permanently; Keep other materials for 3 years after separation	Contains personal information- store securely	Securely shred
XXIV.	WEB FILES (see item 129)*				
A. B. C. D.	automatic and electronic processing media IT general documentation (see 125)* world wide web pages (see item 130)* development materials	May include page content and html, usage and design records, copyrights, snapshots, site maps, server notes, and other misc.	Retain software licenses & agreements for 3 years after termination; Retain web pages for 5 years	Consult Communications Unit before posting, removing, or significantly redesigning pages	Permanent deletion

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Important FAQs:

Q: What counts as a “record” and what criteria should I use to determine whether something has “historical” value?

A: A good rule of thumb is that something that helps tell the “story” of your organization is worth keeping. According to the guide about record retention from SkillSoft Corporation (2009), employees should always retain records when the law requires it, when the records document “business transactions,” and/or when the records are needed “to support business operations.” But there is much more to it, since perspectives may differ and we also have to consider where and how long to keep records. Thus, PLEASE consult the guide provided by UAF’s University Archives: <http://library.uaf.edu/apr-guide-to-preserving-university-records>

Q: What do I do with a document that doesn’t fit the categories on this list?

A: You can call CES Communications at 907-474-5211 with any questions about records.

Q: If the schedule says to keep something for three years, is it really a problem if I keep it for a shorter or longer time period?

A: The retention periods above are based on known best practices and relevant regulations, and destroying original records before the time listed might mean losing access to materials necessary to provide legal documentation. On the flip side, keeping confidential records after the time limit listed opens your office and the university to litigation if the records are then misplaced, misused, etc. You are responsible for everything that is on file, and auditors will notice if your records are not in order. Thus, it is vital to have a standing policy of cyclical review of records that includes disposal of records whose time is up. Exceptions should obviously be made for records relevant to an ongoing case and/or records that could possibly serve as evidence in a reasonably foreseeable legal matter.

Q: When secure storage is indicated, does that mean the files have to be in a locked cabinet?

A: If you have paper copies, then yes, access to any documents that contain personal client information should be restricted, ideally by locking them in a desk drawer or file cabinet when not in use. For electronic copies, sensitive files should be password-protected and passwords should not be written down in any obvious place. Change passwords as personnel changes to keep files secure. When you’re ready to shred the documents, don’t pile them in an unsecure bin. Keep access restricted until they are ready for transport.

Q: Where can I go if my office doesn’t have the proper equipment to deal with confidential records that require either permanent storage or secure destruction?

A: UAF Records and Information Management offers document imaging and shredding services; call 450-8365 for more information.

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Q: What kind of CES-related stuff is the Archives interested in?

A: The Archives currently has in its collection correspondence, newsletters, 4-H scrapbooks, photographs, and videotapes from 1932-1998 CES in Alaska. If material is from CES in another state, the generating CES is the “office of record” responsible for originals.

Q: Do I need to worry about any other state or university policies too, or just stick to the CES-specific policies on this sheet?

A: UAF has a document on data classification, <http://www.alaska.edu/records/dataclass/> that describes how to best handle various types of compiled information. It speaks specifically to issues of confidentiality, etc. and it is important for all employees to be aware of and abide by these policies. In addition, UAF’s Records and Information Management maintains the General Administrative Retention and Disposition Schedules available online at www.alaska.edu/records/records/rds/admin-info as well as an important pdf regarding protecting each other and our clients against identity theft: <http://www.alaska.edu/records/id-theft/>.

In addition to UAF and CES policies, those handling documents containing personal information should read the stipulations of Alaska’s Personal Information Protection Act (HB 65) available for perusal by searching the legislative archives:

http://www.legis.state.ak.us/basis/get_bill.asp?bill=HB%20%2065&session=25

The act gives a definition of what counts as “personal information” and outlines proper use of credit card information, social security numbers, and other sensitive information. For example, any CES personnel that deal with credit card or debit purchases should be aware that by law any invoices we generate must “truncate” credit/debit card numbers to four digits, and the expiration dates of cards are not allowed to be displayed.

These CES policies were created in addition to and in accordance with UAF policies. If you need clarification, please contact the Chief Records Officer for Records and Information Management at 907-450-8078.

Q: There is a pretty long list of documents, and I don’t personally handle all of them. How do I know which person in my office is responsible for approving the filing and/or destruction of a given document?

A: Your office should set aside time to put a plan in writing regarding how often each category of records will be reviewed, who has the authority to review them, and who is responsible for disposition including ordering pick-up and signing destruction certificates.

Q: How do I know for sure that the e-mail or other electronic file I just put in the “Trash” is really deleted for good?

A: Contact the Office of Information Technology, 907-450-8300 to receive training on permanent deletion of electronic files.

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Q: *What do I do with quality photos that I know are of CES events, but lack identifying names and/or dates?*

A: In past cases, employees have made use of events such as meetings and fairs to display photos with a “Who am I?” heading to encourage the public to help them identify mystery photos. Perhaps past employees from the estimated time period of the photos may be willing to help as well. It is best to have identifying information before turning photographs over to another unit; otherwise, no useful captions can be attached and the promotional and historical value of the photos becomes limited. Use clues from the photos such as any logos (the appearances of which change in documented ways over time) or, in the case of fair photos, themed/decorative elements that may help you identify the time period in question. It is important to identify any persons in the photos because signed releases may be required in order to publish the photo in CES-related materials.

This document was generated in consultation with other record retention guides and schedules available online from Central European University, Jefferson County Colorado Cooperative Extension, Ohio State University, University of Arkansas EFNEP, University of Wisconsin-Extension, and Washington State University.