

RECORDS RETENTION AND DISPOSITION SCHEDULE

PROVIDING ACCESS
Preserving Arizona

RECEIVED
 Arizona State Library, Archives and Public Records
 RECORDS MANAGEMENT DIVISION
 1919 West Jefferson Street
 Phoenix, Arizona 85009
 Phone: 602-542-3741 Fax: 602-542-3890
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JUN 26 2003

NAU EAW Office

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| State Agency Password | Political Subdivision | Agency Name Northern Arizona University | |
| Org. Unit/Division Vice President, Administration | Office Employee Assistance & Wellness | Phone (928) 523-1552 | |
| Address P.O. Box 5642 | City Flagstaff | AZ | Zip 86011 |
| Submitted By (Name) Dr. Elizabeth Kerr | Title Director | Signature <i>Signature on File</i> | |

Pursuant to ARS §41-1351, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, it is necessary for an audit, or for legal purposes, you believe that special circumstances warrant the extension of any of these retention periods, that records should be kept longer than the period listed below or that any of these record series may be appropriate for transfer to the Archives, please contact the Records Management Division to inquire about a change to the retention period. Only the Records Management Division has the authority to extend records retention periods.

| No. | RECORD SERIES | R.S. RETENTION (YR.) | | | REMARKS (Include start point of retention.) | |
|-----|---|----------------------|------|------------|--|---|
| | | Code | Off. | R.C. Total | | |
| 1. | General Correspondence including letters, memos, etc., not related to a specific project or case (paper and/or electronic) | | | | | |
| | a. Official Copy (signed original or copy of signed original) | | 2 | - | 2 | After created or received. |
| | b. Final Draft | | 3mo | - | 3mo | After official copy created. |
| | c. Earlier Drafts | | - | - | - | After superseded. |
| 2. | E-mail | | | | | |
| | a. Records* (including sender and receiver identification, time and date sent and received, and complete message) preserved and retained on individual computers or on a server | | - | - | - | Retain for the same length of time as required for other forms of the same record series. |
| | b. Records* created with other software transmitted via E-mail and maintained on hard disk, floppy disk or on a server. | | - | - | - | Retain for the same length of time as required for other forms of the same record series. |
| | c. Records* (including sender and receiver identification, time and date sent and received, and complete message) printed to paper and preserved and retained in that form | | - | - | - | Retain for the same length of time as required for other forms of the same record series. |
| | d. Records* sent as attachments to E-mail | | - | - | - | Retain for the same length of time as required for other forms of the same record series. |
| | e. Routine non-record communications | | - | - | - | Retain until informational value has been served or a maximum of three months. |

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| Approved By: Director, Arizona State Library, Archives and Public Records | Approval Date: <p style="text-align: center; font-weight: bold;">JUN 17 2003</p> |
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| State Agency Password | Political Subdivision | Agency Name Northern Arizona University |
| Org. Unit/Division Vice President, Administration | | Office Employee Assistance & Wellness |
| <p><small>Pursuant to ARS §41-1361, the following retention periods represent the maximum time records may be kept. Unless records relate to pending or current litigation, or are necessary for an audit, keeping records beyond their retention periods is illegal. If you believe that special circumstances warrant the extension of any of these retention periods, records should be kept longer than the period listed. Since or that any of these records may be appropriate for transfer, should be transferred to the Archives. Please contact the Records Management Division to inquire about a change to the retention period. Only the State Library/Records Management Division has the authority to change record retention periods.</small></p> | | |

| No. | RECORD SERIES | R.S. Code | RETENTION (YR.) | | | REMARKS (Include start point of retention.) |
|-----|--|-----------|-----------------|------|-------|---|
| | | | Off. | R.C. | Total | |
| | f. E-mail data backups | | 4 wks | | 4wks | After date backup was run. |
| | g. Periodic printouts of E-mail directories and distribution lists | | 3 | - | 3 | After updated or modified. |
| | h. Computer maintained E-mail directories and distribution lists | | - | - | - | After updated or modified. |
| 3. | * Meeting requirements of the definition of records per ARS 41-1350. Transitory materials including correspondence of limited reference value, letters of transmittal and informational bulletins (paper and/or electronic) | | 3mo | - | 3mo | After created or received. |
| 4. | Reference materials including duplicate files or documents, periodicals, catalogs, published reports, etc. (paper and/or electronic) | | - | - | - | After informational value has been served or a maximum of 3 years. |
| 5. | Working documents including notes, drafts, feeder reports, etc. used in the development of final or summary records (paper and/or electronic) | | - | - | - | After completion of the final record. |
| 6. | Progress/activity reports (except official agency annual reports) including weekly or monthly reports to supervisors and managers (paper and/or electronic) | | 1 | - | 1 | After fiscal year created or compiled. |
| 7. | Office internal administrative records including non-policy work procedures, office assignments, work schedules, etc. (Paper and/or electronic) | | 3 | - | 3 | After revised or discontinued. |
| 8. | All employee time and leave records (unit of assignment copy only) | | 1 | - | 1 | After calendar year created. |
| 9. | Financial records including order requisitions, purchase orders, invoices, cash receipts/tapes, documentation of purchasing card purchases, interdepartmental billings, telephone records, etc. (paper and/or electronic). | | 1 | - | 1 | After fiscal year created or received. <i>See HR schedule.</i> <i>Original records 5 yrs.</i> <i>Per Comptroller's Schedule.</i> |
| 10. | Travel claims and supporting documentation | | 3 | - | 3 | After fiscal year created or received. |
| 11. | Employee personnel files (supervisor copy) | | 6mo | - | 6mo | After termination or transfer. |

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| No. | RECORD SERIES | R.S. Code | RETENTION (YR.) | | | REMARKS (Include start point of retention.) |
|-----|---|--------------|-----------------|------|-------|---|
| | | | Off. | R.C. | Total | |
| 12. | Counseling Case Records – Adults | | 7 | - | 7 | After last contact (per Arizona Psychological Association requirements). |
| 13. | Counseling Case Records – Minors | | * | - | * | *Three years after minor turns 18 years of age or 7 years after last contact, whichever is longer (per Arizona Psychological Association requirements). |
| 14. | CDL Records | | 5 | - | 5 | After last contact and/or last dated document (Federal Register Rules and Regulations 382-401). |
| 15. | Fitness for Duty Records | | 7 | - | 7 | After last contact (per NAU Affirmative Action Office and NAU Legal Counsel). |
| 16. | Certificates of Destruction (departmental copy) | | 2 | - | 2 | After fiscal year records destroyed. |

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