

TABLE I**REPOSITORIES AND RETENTION PERIODS FOR STUDENT-RELATED ACADEMIC RECORDS**

Note: The term “*school*” used below indicates one of the following: The College, The Eastman School of Music, The School of Medicine and Dentistry, The School of Nursing, The Simon School of Business or the Warner Graduate School of Education.

Type of Record	Official Repository	Duration
Academic, Student		
Academic files of Graduate and Undergraduate Students	Registrar	5 years from graduation or date of last attendance
Department academic files	Department	5 years from graduation or date of last attendance
Academic Transcripts	Registrar	Permanent
Financial Aid records (applicants who do not enroll)	School Financial Aid Office	1 year from date of application
Financial Aid records (applicants who enroll)	School Financial Aid Office	4 years from end of fiscal year in which aid is awarded
Application materials for applicants who do not enroll	Admissions Office	1 year from start of application term

TABLE I CONTINUED**REPOSITORIES AND RETENTION PERIOD FOR UNDERGRADUATE, GRADUATE, PROFESSIONAL, CONTINUING EDUCATION AND SUMMER SESSION, EXTRAMURAL AND SPECIAL PROGRAMS STUDENT-RELATED ACADEMIC RECORDS**

Type of Record	Official Repository	Duration
Academic, Student		
International Student forms (visa documentation, etc.)	International Students Office	5 years
Student Loan Records	Office of the University Bursar	5 years after the loan has been repaid in full
Student Account Records	Bursar offices (River Campus, SMD, EDC)	6 years
IRS Form 1098T and 1098E	Bursar offices (River Campus, SMD, EDC)	7 years
Academic Calendar	School	Permanent
Catalogs	University Archivist	Permanent
Commencement Programs	University Archivist	Permanent

TABLE II**REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS**

Type of Record	Official Repository	Duration
Academic Personnel		
Academic Search Records	See Affirmative Action/Equal Opportunity Section	
Annual Conflict of Interest Disclosure Statements	School Dean's Office	6 years
Faculty File	Dean	8 years from termination
Grievances	School Dean's Office	6 years from termination or retirement of grievant
Personnel Files, Appointment Letters and Forms	See Human Resources Section	
Tenure or Promotion Cases	Office of the Provost (SMD/SON Deans for those schools)	If action approved, 3 years; If tenure denied, 3 years from end of term appointment
Accounting and Finance		
All records not specified below	Finance (SMH, EDC and URMFG Finance department for their respective financial records)	7 years
Audited Financial Statements (and workpapers)	Finance Offices (University Finance, SMH Finance, EDC Finance)	Permanent
Financial Statements – consolidated quarterly (unaudited) SMH monthly (and workpapers)	University Finance for consolidated; SMH, EDC for their respective stand-alone financials	3 years
Capital Equipment Records	University Finance, SMH	Life of Asset: records of equipment purchased on federal funds must be retained for 3 years after final disposition
Depreciation Records	University Finance, SMH	Life of Asset
Inventories	Appropriate Department	Life of Asset
Travel Reimbursements and Attachments	*University Finance **Departments	*7 years - Finance **3 years - Departments
University Audit Workpapers, Reports and related meeting minutes/presentation materials	University Audit	6 years

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Affirmative Action/Equal Opportunity		
Academic Search Documents	Appropriate Department	3 years from decision to hire
Affirmative Action Plan for Instructional Faculty	Office of the Provost	7 years
Affirmative Action Plan for Staff	Human Resources	2 years
Federal and State Required Statistics and Reports	Office of the Provost	Permanent
Non-Academic Search Materials and Documents Supporting Hiring Selection Decisions	Appropriate Department	3 years from date of appointment
Sexual Harassment Complaints, Investigations and Findings	Human Resources	No Cause Findings, 3 years from determination; Cause Findings, Permanent
Advancement		
Alumni Data	University Advancement Services	Permanent
Gift Records	University Advancement Services	Permanent
Planned Gifts (trusts, life income, agreements, annuities) real estate	University Advancement Services	Permanent
Animal Welfare		
UCAR Minutes	UCAR	20 years
Other Records	UCAR	20 years or as defined by regulation
Research Protocols (PHS Funded Research)	UCAR	3 years after termination of protocol
Compliance		
Medical Center Billing Audit Materials	Medical Center Billing Compliance Office	10 years from completion
Medical Center Billing Investigation Materials	Medical Center Compliance Office	10 years from close
Compliance Committee Minutes	University Audit	7 years from creation
Exclusion verification records (Initial Individual Verification; Monthly Screening)	Office of Human Resources Medical Staff Office, GME Office, Purchasing	Greater of 10 years from screening or 6 years after termination of employment or contract.

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Construction		
As-built Drawings	University Facilities	Permanent
Contracts and Agreements	University Facilities	6 years from expiration/completion of project
Corporate Records		
Accreditation Records	Office of the President	Permanent
Board of Trustees/URMC Board and Committee Minutes	Secretary of the Corporation/Secretary of the URMC Board	Permanent
Bylaws	Secretary of the Corporation	Permanent
Charter	Secretary of the Corporation	Permanent
Environmental Health and Safety		
Asbestos Monitoring	Facilities – Hazardous Waste Unit	30 years after the employee terminates
Asbestos Training	Individual Department	Retained for 1 year beyond the date of employment of the individual
Audiogram for Employees at or above 8-hr time weighed average of 85 decibels (conducted annually)	UHS or Occupational Medicine	Duration of employment
Blood borne Pathogen Training (conducted annually)	Individual Department	3 years from the date of training
Chemical Monitoring	EH&S	Length of employment
Employee Audiometric Testing	UHS or Occupational Medicine	Length of employment
Environment of Care Safety Surveys	EH&S	3 years
Evacuation Drills	EH&S	3 years
Fire Protection Systems Inspection and Test Records	EH&S	10 years (per NYS Fire Code 901.6.2)
Facilities – Hazardous Waste Unit	EH&S	3 years
General Area Audiometric Surveys	EH&S	2 years

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Environmental Health and Safety Continued		
Hearing Conservation Training (conducted annually)	Individual Department	1 year
IBC Files	EH&S	6 years after termination of grant/project or after PI's termination
IBC Meeting Minutes	EH&S	6 years
IBC Registration Documents	EH&S	6 years from grant termination, expiration or transfer
Incident Reports (with or without injury)	HR	5 years following the year to which they relate
Medical Record exam required because of an exposure	UHS or Occupational Medicine	30 years after the employee terminates
OSHA Sharps Injury Log	EH&S	5 years following the end of the year in which the sharps injury occurred
Portable Fire Extinguisher Inspections Reports	EH&S	1 year
Pest Control Activity Logs	EH&S	3 years
Radiation Dose Reports	EH&S	Permanent
Radiation Safety Training Records	EH&S	3 years
Radioactive Materials License and Safety Committee Records	EH&S	Permanent
Radioactive Material Receiving and Inventory Records	EH&S	3 years
Respirator Fit Testing & Evaluation	UHS or Occupational Medicine or EH&S for Spill Team and Pest Control	1 year (required annually)
Respirator Training (conducted annually)	UHS or Occupational Medicine	1 year
Safety Training Records in general (i.e. not specified elsewhere)	Individual Department	Length of employment

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Environmental Health and Safety Continued		
Select Agent Program Records	EH&S	3 years
Shipping Papers	Individual Department	2 years
Training on Personal Protective Equipment	Individual Department	Length of employment
Workplace Hazard Assessments	Individual Department	Duration of the position
Human Resources		
Employee, Faculty Personnel Files (including application, resume, appointment/salary forms), performance appraisals	Office of Human Resources	6 years after termination
Applications from Individuals not Hired (staff)	Office of Human Resources	3 years
Applications from Individuals not Hired (faculty)	Deans and Departmental Offices	3 years from hiring decision
Personnel Records for Retired Individuals (staff)	Office of Human Resources	10 years after death
Personnel Records for Retired Individuals (faculty)	Deans and Departmental Offices	10 years after death
Federal Reporting Requirements: Welfare Benefits and other Fringe Benefit Plans (i.e. 5500-s)	Office of Human Resources	Permanent
Individual Contracts of Employment (staff)	Office of Human Resources	6 years after termination
Individual Contracts of Employment (faculty)	Deans and Departmental Offices	6 years after termination
I-9 Forms: Faculty and staff Students	Office of Human Resources Student Employment Office	3 years from date of hire or 1 year from termination, whichever is greater
Search Committee Records, including employment applications, resumes and all applicant search materials (for staff)	Departmental Personnel Files	3 years
Union Agreements	Office of Human Resources	Permanent
Exclusion verification records (initial and monthly screening)	Office of Human Resources, Med. Staff Off., GME Office	See Compliance

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Human Resources Continued		
Workers' Compensation Claims and Insurance Policies	Office of Human Resources	18 years
Insurance		
Insurance Policies	Office of Risk Management and Insurance	Permanent
Insurance Certificates	Purchasing or Department administering contract	6 years after expiration of contract
Reports (e.g. security) of accidents or incidents	Office of Risk Management and Insurance	4 years after report date
Certificates of Insurance issued by University	Office of Risk Management and Insurance	2 years (summary list – 4 years)
Investment		
Active Investment Managers – manager file	Office of Institutional Resources	Retain reports for 5 years. Retain K-1 for life of investment plus 4 years.
Terminated Investment Managers – manager file, hiring, fees, contract	Office of Institutional Resources	5 years after final distribution
Medical Records		
Medical Records	See SMH Policy 6.10	
Patent and Trademarks		
Invention Disclosures and Assignments	Technology Transfer	Permanent
Licensing Agreements	Technology Transfer	6 years from expiration
Original Patents, Trademarks and Related Workpapers	Technology Transfer	Permanent
Royalty Records	Technology Transfer	Life of Patent or TM plus 6 years
Payroll		
Annual Payment Records (W-2, Alpha lists, employee transaction lists, payroll registers)	Payroll Department	Permanent
Information Returns filed with Federal and State authorities (W-2, 941, 945, 1042S, etc.)	Finance Department	6 years
Cancelled Checks	Finance Department	7 years

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Payroll Continued		
Payroll Deduction Authorization Forms (W-4, DBD, CFCU, Bonds)	Payroll Department	6 years after employment ends
Record of Payments and Deductions (deduction lists, adjustments)	Payroll Department	6 years
Time Cards, 211 forms and supporting documentation, students	Payroll Department Department (in addition to Payroll) if department retention required by sponsor	6 years or as required by sponsor
Time Cards, 211 forms and supporting documentation, employees	Payroll Department Department (in addition to Payroll) if department retention required by sponsor	6 years or as required by sponsor
Wage Assignment Orders	Payroll Department	6 years after closed
Pension/Retirement		
Employee Eligibility for Pension	Office of Human Resources	6 years after death of eligible employee and beneficiary
Employee Personal Information (name, address, SSN, period of employment)	Office of Human Resources	6 years after death of eligible employee and beneficiary
Plan Administrator Setting Forth Authority to Pay, Records of:	Office of Human Resources	Permanent
Pension Plans and All Attached Amendments	Office of Human Resources	Permanent
Pensions or Pension Plans Filed with the Department of Labor and Internal Revenue Service	Office of Human Resources	Permanent
Pension Paid to Employees or their Beneficiaries	Office of Human Resources	6 years after death of employee and beneficiary
Public Safety		
Accident Reports	Security	4 years after report date
Crime Reports	Security	4 years after report date
Property Damage Reports	Security	4 years after report date

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Purchasing		
Purchase Orders, Purchasing Contracts & Agreements w/supporting documentation such as: Requisitions, Justifications & Bid, Documentation for PO's, Bids & Contracts conducted by Purchasing	Purchasing Department	6 years from expiration
Purchase Receipt and Expense Documentation	Appropriate Department	6 years from expiration
Purchase Authorization, Justification, Bid Documents for all purchases or negotiations conducted directly by the department including: PO <\$25K, All Desk Top PO's, CWO, P-Card, SOLO, RFP and Petty Cash Purchases	Appropriate Department	6 years from expiration
Purchasing Supplier Qualification Information/Documentation	Purchasing Department	6 years after Supplier becomes inactive
Exclusion verification records (initial and monthly screening)	Purchasing	See Compliance
Authorization Forms for CWO, P-Card, SOLO Purchasing	Purchasing Department	3 years after user becomes inactive
Real Property		
Leases	Office of Real Estate Services	6 years after expiration of lease or contract term
Original Property Documents: deeds, abstracts of title and sales or conveyances	Office of the University Counsel	Permanent
Property Tax Returns filed with taxing jurisdiction	Office of Sr. Vice President and Chief Financial Officer	6 years
Sponsored Projects, Contracts, Grants		
Animal Welfare Records	Vivarium	3 years from end of protocol
Funded Grants & Contracts – Department Generated Data	Department	7 years after close of grant

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Sponsored Projects, Contracts, Grants Continued		
OMB A-133 Audit and Data Collection Form	Office of Research Accounting and Costing Standards (ORACS)	7 years
Plan/confirmation documentation workpapers; effort certifications	ORACS; Departments	7 years
Facilities & Administration Cost Rate Calculations	ORACS	3 years
Service Center Rate Calculations	ORACS, Service Center Departments	7 years
Human Subject Records	RSRB	3 years or Contract period
Rejected Proposals	ORPA	2 years after proposed start date (destroyed or returned to department upon request)
Retired Grants and Contracts, Original Proposal, Award and Official Correspondence	ORPA	7 years after close-out of award
Grants – Financial Files	ORACS	Federal: 3 years after award end; State: 6 years after award end; other, as required by sponsor
Clinical Trials: Original Contract and Indemnification	ORPA	7 years after completion of clinical trial
Clinical Trials – “All other Relevant Records”	Research Subjects Review Board and Western Institutional Review Board	3 years after completion of clinical trial
Essential Documents for the Conduct of a Clinical Trial	Investigator/Institution	At least 2 years after the last approval of a marketing application or at least 2 years after formal discontinuation of clinical development of the investigational product and after the FDA is notified or longer if required by contract
Patent Files “Data in Support of Patent”	Office of Technology Transfer, Inventor and Department maintain data in support of patent	For the 20-year patent term plus any extensions

TABLE II CONTINUED

REPOSITORIES AND RETENTION PERIODS FOR NON-STUDENT-RELATED RECORDS

Type of Record	Official Repository	Duration
Tax		
Capital Assets: Acquisition/Disposition	See Accounting and Finance Section	
Depreciation Schedules	See Accounting and Finance Section	
Information Returns (990, 1099)	Sr. VP/CFO office for final 990 and 990-T; University Finance for backup detail	Permanent
IRS Determination Letters	Sr. VP/CFO; General Counsel	Permanent
Payroll Tax Returns (W-2, Social Security, Unemployment Tax)	See Payroll Section	Permanent
Sales Tax Returns	University Finance	6 years
FDA Regulated Research (for drugs and devices)	Investigators are required to retain all study records in a secure and safe facility with limited access until one of the following time periods:	At least 2 years after notification from the sponsor that the drug/device has been approved for the indication that was investigated. Or, if not approved for such indication, at least 2 years after the investigation is completed or discontinued and the FDA has been notified.
Sponsored Grants and Contracts	For all sponsored research, the investigator should notify the sponsor of any change in the location, disposition or custody of the study files	For studies not using FDA regulated drugs and devices, check with the wording in the sponsors grant/contract regarding record retention. If this information is not included, contact the grant/contract administrator.

TABLE III**LASER LAB FOR ENERGETICS**

Type of Record	Official Repository	Duration
LLE (Laser Lab) Historical	Ref: LLE Instructions LLEINST 1610C	
LLE Reviews	LLE Office	Current FY: 50 copies 5 years back: 25 copies Farther back: 5 copies
Annual Reports	LLE Office	Current FY: 100 copies 5 years back: 25 copies Farther back: 10 copies
Reprints	LLE Office	Permanent Circulation File
Lab Reports	LLE Office	Permanent Circulation File
Conference Presentations (unpublished)	LLE Office	1 year
Classification/Patent Review	LLE Office	2 years
LLE – Legal and Contractual	Ref: LLE Instructions LLEINST 1610C	
Contracts and Grants	LLE Office	3 years after closeout
LLE Financial Reports and University Ledgers	LLE Office	3 years after contract closeout
LLE – Financial and Purchasing Transactions	Ref: LLE Instructions LLEINST 1610C	
Budgets	LLE Office	5 years
LLE – Property Records	Ref: LLE Instructions LLEINST 1610C	
Government Funded	LLE Office	3 years after contract closeout or 1 year after property disposed of, whichever is later
Non-Government Funded	LLE Office	1 year after property disposal
Patents	LLE Office	3 years after expiration
Licenses and Royalty	LLE Office	3 years after termination
LLE – Subject and Letter (including proposals)		
<u>General Correspondence</u>		
DOE Letters	LLE Office	5 years
Letters to sponsoring agencies	LLE Office	5 years
Letters to/from Director's Office	LLE Office	5 years
Others	LLE Office	3 years
<u>LLE Proposals</u>		
DOE	LLE Office	Permanent
Others	LLE Office	3 years

TABLE III CONTINUED

LASER LAB FOR ENERGETICS

Type of Record	Official Repository	Duration
<u>LLE Personnel</u>		
Cleared Personnel	LLE Office	Permanent
Others	LLE Office	3 years after termination
<u>LLE Chronological</u>		
LLE Data – Shot Records	LLE Office	10 years
LLE Tritium Decommissioning Records	LLE Office	Permanent

TABLE IV**MEMORIAL ART GALLERY (MAG)**

Type of Record	Official Repository	Duration
Annual Reports	MAG Archives	Permanent
Bylaws, Minutes & Reports of the Board of Managers & its Committees	MAG Archives	Permanent
Creative Workshop Class Schedules	MAG Archives	1 year
Cultural Registration & Object Files (including loan agreements, deeds of gift, copyright licenses & permissions, appraisals & insurance valuations)	MAG Archives	Permanent
Development files (corporate, foundation, individual donor), campaign documentation & gifts of art*	MAG Archives	Permanent *documentation re: gifts of art will also be included in the Curatorial Object Files and the Minutes of the Art Committee of the Board Managers
Exhibition Documentation	MAG Archives	Permanent
Grant Files	MAG Archives	Permanent if related to collection, exhibitions, programs or MAG buildings
Material on deposit from or gifted by other organizations (i.e. Rochester Art Club)	MAG Archives	Until 6 years after end of contract, or Permanent, whichever applies
Photographic Permissions for reproduction of images of individuals	MAG Public Relations	Permanent
Program & Event Documentation (not including routine space rental)	MAG Archives	Permanent
Publications	MAG Archives	Permanent
Records of MAG-affiliated volunteer organizations (docents, Gallery Council etc.)	MAG Archives	Permanent
Historical Files	MAG Archives	Permanent
Accreditation Files	MAG Archives	Permanent
Biographical files on staff, donors, artists	MAG Archives	Permanent

TABLE IV CONTINUED**MEMORIAL ART GALLERY (MAG)**

Type of Record	Official Repository	Duration
Correspondence with dealers, donors, artists	MAG Archives	Permanent
Internal Correspondence	MAG Archives	1 year
Material that documents art & artists in Rochester	MAG Archives and Library	Permanent
Material that documents the relationship of the Gallery to the University	MAG Archives	Permanent
Membership records (particularly early records) and documentation of benefits, programs, etc.	MAG Archives	Permanent
Policy and procedure documentation	MAG Archives	Permanent
Scrapbooks and newspaper clipping files	MAG Archives	Permanent (Scrapbooks from 1912-1997 have been microfilmed)

TABLE V

UNIVERSITY HEALTH SERVICE (UHS) UNIVERSITY OF ROCHESTER	POLICIES & PROCEDURES	Last Revision Date: 5/11/05																														
	INFORMATION MANAGEMENT	Approved/Reviewed by: <input type="checkbox"/> Leadership <input type="checkbox"/> OPS																														
	IM-7A 03.4 Record Retention Guidelines	Standard IM 3.10 Page 1 of 2																														
<p>POLICY: The retention time of medical record, medical care and other information is determined by UHS based on law and regulation and on its use for patient care and educational activities.</p>																																
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TABLE V CONTINUED		
UNIVERSITY HEALTH SERVICE		
MEETING MINUTES	Length of Retention at Local Level	Responsible Person
Operations (OPS).....	10 years	Director's Office
Leadership Team (formerly Exec. Com.)	10 years	Director's Office
Quality Improvement.....	Indefinitely	Director's Office
Provider	5 years	Director's Office
Nursing Staff	5 years	Director's Office
Clinical Support Staff	5 years	Director's Office & Assoc. Dir., Nursing
UCC Management Team.....	5 years	UCC Administrator
Other meetings, incl. ad-hoc committees (Generally convened to work on a specific problem. The final report of such committees should be retained indefinitely.)	5 years	Committee Chair to keep minutes. Final report to Director's Office.
LABORATORY RECORDS		
Requisition copies of SMH lab requests	2 years	UHS Lab Technician
Record of UHS tests ordered	7 years	Asst. Supervisor, Medical Records
Lab result log sheets	7 years	UHS Lab Technician
Quality Control Records	2 years	UHS Lab Technician
Equipment maintenance, service, & repair	As long as equipment is in use	UHS Lab Technician
Temperature monitoring	2 years	UHS Lab Technician
MEDICAL RECORD RETENTION		
Prescriptions	6 years	Assoc. Director, Nursing
Prescriptions – controlled	5 years (for triplicate prescriptions)	Provider
Encounter Sheets	Keep until bill is processed on practice management system.	Asst. Supervisor, Reception Desk
X-ray Log	1 year	Asst. Supervisor, Medical Information
Medical Records Request	1 year plus current fiscal year	Asst. Supervisor, Med Info, UCC chart
Medical Records Release.....	1 year plus current fiscal year	Asst. Supervisor, Med Info, UCC chart
Answering Service Reports	1 year	Asst. Supervisor, Reception & UCC Sec.
Medical Records:		
▪ Medical notes (single).....	Indefinitely	Asst. Supervisor, Record Room
▪ Student medical records.....	24 years	Asst. Supervisor, Record Room
▪ Medical records of minors	At least 6 years from date of last treatment or until minor is 19, whichever is longer.	Asst. Supervisor, Record Room
▪ Employee medical records.....	Duration of employment + 30 yrs	Asst. Supervisor, Record Room
▪ Records for employees rendered care for work-related illnesses & injuries.	Minimum of 10 yrs after incident (40 yrs for asbestos exposure)	Asst. Supervisor, Record Room
▪ UCC Records.....	7 years	UCC Administrator
Copies of ESM Visit Notes	1 year after student leaves UR, then shredded.	Nursing Manager, ESM Office
Copies of RCO Visit Notes	Until end of current semester, then shredded.	Nursing Manager, River Campus Office

TABLE VI**RADIATION SAFETY**

Type of Record	Retention Period	Basis
Records of administration of PET radiopharmaceuticals	Until disposition is authorized by NYS Dept. of Health	Radioactive Materials License No. 436, Item 9 RR, SS, TT and UU
Annual reports on the use of radioactive material in research on human subjects	Until disposition is authorized by NYS Dept. of Health	Radioactive Materials License No. 436, Item 23
Audits of program content & implementation	3 years	10NYCRR16.14(b)
Records of approval for physicians for medical use of radioactive materials	7 years after physician ceases authorized activity	Radioactive Materials License No. 436, Item 10.C
Bioassays, air sampling, and other surveys pursuant to 10NYCRR16.26(c)(1)(iii)	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(c)
Calibration records	5 years	Radioactive Materials License No. 436, Item 16
HURC Records	21 years	
Internal Audit Reports	Until termination of radioactive materials license	
Correspondence – license amendments	Until termination of radioactive materials license	Provisions of program 10NYCRR16.14(b)
Records of information important to safe and effective decommissioning of facilities	Until termination of radioactive materials license	Radioactive Materials License No. 436, Item 32
Dose to individual members of public	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.7(b)
Inspection reports (state, federal, regulated)	3 years after report date	10NYCRR16.14(b)
Inventory of radioactive materials	5 years	Radioactive Materials License No. 436, Item 17
Leak tests	3 years	10NYCRR16.14(c)
Measurements and calculations used to determine individual intakes of radioactive materials	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(c)
Measurements and calculations used to evaluate release of radioactive materials to environment	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(c)

TABLE VI CONTINUED

RADIATION SAFETY

Type of Record	Retention Period	Basis
Records of Mis-administrations	6 years	NYCRR16.25(b)
Permission for visiting physician to use licensed materials	5 years	Radioactive Materials License No. 436, Item 18
Personnel monitoring records	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(c)
Prior occupational dose	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(c)
Provisions of program	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(b)
Quality assurance records for medical imaging equipment – initial records following installation, current year and each intervening year	Until unit is decommissioned	New York State Department of Health Guide for QA Program
Radiation protection surveys	3 years	10NYCRR16.14(c)
Radiation Worker Info Form (5C's)	10 years	
Radiation Worker Training Exams	3 years	
Receipt survey of incoming packages containing radioactivity	3 years	10NYCRR16.14(c)
Surveys performed to estimate dose from external sources	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(c)
Records of patient release when dose to any individual could exceed 100 mrem from administration of radiopharmaceuticals or sealed sources	5 years	10NYCRR16.123(b)
Sealed source inventories	3 years	10NYCRR16.123(c)
Record of training of personnel using Bracco Diagnostic Cardiogen-82 generator/infusion system	3 years	Radioactive Materials License No. 436, Item 10.K
Transfer or receipt of radioactive materials, including radioactive waste	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(i)

TABLE VI CONTINUED

RADIATION SAFETY

Type of Record	Retention Period	Basis
Waste records	Until disposition is authorized by NYS Dept. of Health	10NYCRR16.14(i)
Documentation of trustworthiness and reliability of individuals granted unescorted access to sources of concern	3 years after employment ends	Radioactive Materials License No. 436, Item 66a
List of individuals approved for unescorted access to sources of concern	3 years after revision	Radioactive Materials License No. 436, Item 66b
Documentation on radioactive materials carrier(s) who transport radioactive sources of concern	3 years after discontinuing use of particular carrier	Radioactive Materials License No. 436, Item 66c
Documentation of shipping coordination, notifications and investigations for radioactive sources of concern	3 years after shipment or investigation is completed	Radioactive Materials License No. 436, Item 66d
Documentation required for increased controls of radioactive sources of concern	3 years after license termination or reduction of possession limits below the quantities of concern	Radioactive Materials License No. 436, Item 66e
Records of Receipt, Transfer and Disposal of Radioisotopes	<p><u>Legal Minimum:</u> As long as material is possessed and for 3 years following disposal of material</p> <p><u>Recommended:</u> Permanent</p>	Until disposition is authorized by NYS Dept. of Health

TABLE VII**HOSPITAL, FACULY PRACTICE AND DIAGNOSTIC TREATMENT CENTERS RECORDS**

Record	Retention Period	Legal Citation for Retention (if any)	Official Repository
Medical Staff Bylaws	Permanent		Office of the Chief Medical Officer (CMO)
Medical Center Board and Committee Minutes	Permanent		Board Office
Medical Executive Committee Minutes	Permanent		Office of CMO
Hospital Annual Reports	Permanent		URMC Public Relations
Certificates of Need	Permanent		URMC Planning Office
Licenses	Permanent		For patient care services – SMH Directors Office; for behavioral health – SMH Psychiatry Admin Office
Affiliation Agreements/Residency Rotation Agreements	Active + 15 years		GME Office
Medical Staff Credentials/Personnel Records	11 years after staff separates from University ***** Permanent where there is adverse credentialing or privileging action, investigation for crime, fraud or something similar	10NYCRR§405.6(b)(7)(iv)	Office of CMO
Medical Staff – records of rejected applications	11 years from date of rejection		Office of CMO
Resident Credentials	Active + 20 years		GME Office
Exclusion verification records (initial and monthly screening)	See Compliance	Medicare Managed Care Manual Ch.21, Sections 50.3.2 and 50.5.3; 42 CFR§422.503 and 42CFR§422.504	Medical Staff Office

TABLE VII CONTINUED

HOSPITAL, FACULTY PRACTICE AND DIAGNOSTIC TREATMENT CENTERS RECORDS

Record	Retention Period	Legal Citation for Retention (if any)	Official Repository
SMH/EDC Policies, Procedures and Guidelines (includes policies of hospital-wide departments, like Nursing and Pharmacy)	Active + 20 years		SMH or EDC Directors Office
Other Departmental Policies	11 years		Department
HIPAA Policies (Privacy and Security)	6 years from date of creation of date when last in effect; whichever is later	Privacy, 45CFR§164.530(j)(2); Security, 45CFR§164.316(b)(2)	Intranet on-line HIPAA Policy Manual
HIPAA required documentation on: <ul style="list-style-type: none"> • Notice of Privacy Practices • Patient access • Amendments of protected health information • Accounting of Disclosures • Signed authorizations • Restriction of disclosure requests 	6 years from date of creation or date when last in effect; whichever is later	Privacy, 45CFR§164.530(j)(2); Security, 45CFR§164.316(b)(2)	URMC Privacy Office

TABLE VII CONTINUED

HOSPITAL, FACULTY PRACTICE AND DIAGNOSTIC TREATMENT CENTERS RECORDS

Record	Retention Period	Legal Citation for Retention (if any)	Official Repository
<p>HIPAA required documentation on:</p> <ul style="list-style-type: none"> • Complaints and disposition • Sanctions applied • Training on privacy & security by workforce members 	10 years from date of creation	<p>Privacy, 45CFR§164.530(j)(2); Security, 45CFR§164.316(b)(2)</p> <p>45CFR§164.528(a)(1), Medicare Managed Care Manual Ch.21 and Medicare Prescription Drug Benefit Manual Ch 9, Sections 50.3.2 and 50.5.3; 42 CFR§422.503 and 42CFR§422.504</p>	HIPAA training compliance retained in HRMS and MyPath; URMIC Privacy Office
Hospital statistics including Admissions, Services, Discharges and Transfers	6 years		SMH Finance Office
Admission/Discharge Register	6 years		SMH Admitting Office
Utilization Review Records	21 years; 15 years for Psych	42CFR§482.24 (setting 5 year minimum)	SMH UR Office; Psych Office
Quality Assurance Records	11 years		SMH QA Office
Departmental QA Records	11 years		Department
Equipment Maintenance Records	Life of equipment plus 2 years (except for equipment known to be implicated in adverse patient outcome, for which records should be kept until notice from Office of Counsel		SMH Clinical Engineering Office

TABLE VII CONTINUED

HOSPITAL, FACULTY PRACTICE AND DIAGNOSTIC TREATMENT CENTERS RECORDS

Record	Retention Period	Legal Citation for Retention (if any)	Official Repository
Regulated Medical Waste Treatment Systems, including Alternative Regulated Waste Treatment System Validations, Challenge Test Results, Routine Maintenance and Personnel Training	6 years	10NYCRR§70-2.5 (3 year minimum)	URMC Facilities
Autoclave (including records of time, temperature and pressure associated with each load autoclaved)	6 years	10NYCRR§70-3.5 (3 year minimum)	URMC Facilities
Records of Receipt, Transfer and Disposal of Radioisotopes	Until disposition is authorized by the NYS Dept. of Health		Nuclear Medicine and Nuclear Cardiology for those departments; UR Radiation Safety for all others
Hospital Licensing and Accreditation Surveys	Permanent	NY Public Health Law §2805(g) (10 year minimum)	SMH QA Office
Contracts (including managed care)	<u>Recommended:</u> Contracts with referral sources: Active + 15 years <u>All other Contracts:</u> Active + 6 years	31 USC §3729 (cite is to the False Claims Act)	Responsible Department
Employee Training Certification (includes e.g., Certification, Licensure, Mandatories, Competencies, Skills Check List (ULAP), End of Orientation Evaluation	Active + 6 years		Human Resources Division or Department depending on which office does training

TABLE VII CONTINUED

HOSPITAL, FACULTY PRACTICE AND DIAGNOSTIC TREATMENT CENTERS RECORDS

Record	Retention Period	Legal Citation for Retention (if any)	Official Repository
URMC Mandatory In-Service Education Program	10 Years or Active + 6 years, whichever is longer	42CFR 422-504(d)	Human Resources
Training Program Materials (1) Orientation, (2) Mandatory Training	Active + 6 years		Human Resources Division or Department depending on which office does training
Certificates of Completion of Infection Control & Barrier Precaution Training Courses (for Physicians, Physician Asst. & Specialist Asst.	11 years	10NYCRR§92-1.6 (6 year minimum)	Department where training is done
Nursing Records Training	As provided in Nursing Procedures and Policies		Nursing Practice
Hospital and Diagnostic Treatment Center Fiscal and Statistical Reports, Cost Reports, Workpapers and all supporting materials (invoices, cancelled checks, etc.)	<p><u>Legal Minimum:</u> Books, records and documents which form the basis of audits: 6 years from the later of the date of filing or the date in which the fiscal and statistical records were to be filed.</p> <p><u>Recommended:</u> Current year + 15 years expect records relating to Base Year which should be maintained for as long as base year is used plus 2 years.</p>	<p>42 CFR §413.20; 42 CFR §413.24 (cites to Medicare reporting requirements that do not specify time periods)</p> <p>10NYCRR §86-1.8; 18NYCRR §517.6</p>	SMH/EDC Finance

TABLE VII CONTINUED**HOSPITAL, FACULTY PRACTICE AND DIAGNOSTIC TREATMENT CENTERS RECORDS**

Record	Retention Period	Legal Citation for Retention (if any)	Official Repository
Patient and Payer Remittances	10 years	Medicare guidelines	URMFG Departments
Controlled Substances – Inventory, Disposal, Orders and Prescriptions	11 years	NY Public Health Law §3370(1); 10NYCRR §80.100 (5 years); 21 CFR §1304.04 (2 years)	Pharmacy
Pharmacy Prescriptions (Non-Controlled Substances)	11 years	NY Education Law §6810(5) (5 years)	Pharmacy

TABLE VII CONTINUED

OTHER CLINICAL RECORDS

Record	Retention Period	Legal Citation for Retention (if any)	Official Repository
List of On-call Physicians	11 years	42 CFR §48920(r) (no retention period specified)	
ER Central Log of Patients	11 Years	42 CFR §48920(r) (no retention period specified)	
Non-workforce Accident/Incident Reports	11 Years		
Release or Disposal of Human Remains	21 years		