

RECORDS RETENTION AND DISPOSITION SCHEDULE

University of North Carolina at Chapel Hill School of Medicine Department of Medicine

DIVISION OF HEMATOLOGY AND ONCOLOGY

(Electronic file maintenance is provided by and security copies of electronic data are backed up by the Office of Information Services.)

- Item 1. Accounting and Finance (Payable/Receivable) File.** AutoText 77 (4-8-2002)
Official accounting and financial records created and/or maintained in paper and/or electronic formats concerning accounts payable, accounts receivable, inventories, and general accounting for all schools/departments/units at UNC-Chapel Hill. File includes purchase requisitions, purchase orders, invoices, reference copies of cost accounting sheets, account ledgers, receipts, financial reports, correspondence, and other related records. (Record copies of cost accounting sheets are maintained by the Office of Sponsored Research for audit purposes.) (Note: This series does not include payroll related records.)
- Disposition Instructions:** Erase/destroy in office records in paper and/or electronic formats after 5 closed fiscal years and when released from all audits.
- Item 2. Annual Reports File.** AutoText 6 (7/19/01)
Record copies of annual reports created and/or maintained in paper and electronic formats concerning departmental activities.
- Disposition Instructions:** Transfer paper records to the custody of the University Archives after 5 years for appraisal and final disposition. Erase in office electronic records when administrative value ends and after records have been printed and filed into the office's filing system for eventual transfer to the University Archives.
- Item 3. Budgets File.** AutoText 78 (4-8-2002)
Record copies of budgetary records created and/or maintained in paper and electronic formats. File includes budget authorizations, budget reports, requests for budget changes, journal entries, and other related records.
- Disposition Instructions:** Transfer End of Year Reports in paper format to the custody of the University Archives after 5 years and when released from all audits for appraisal and final disposition. Erase in office End of Year Reports in electronic format when released from all audits and after records have been printed and filed into the office's filing system for eventual transfer to the University Archives. Erase/destroy in office remaining records in paper and electronic formats after 5 years and when released from all audits.
- Item 4. Committees and Councils File.** AutoText 14 (7/19/01)
Record copies of records created and/or maintained in paper and electronic formats concerning interactions with various committees and councils. File includes correspondence, minutes of meetings, notifications, reports, and other related records.
- Disposition Instructions:** Transfer paper records to the custody of the University Archives after 5 years for appraisal and final disposition. Erase in office electronic records when administrative value ends and after records have been printed and filed into the office's filing system for eventual transfer to the University Archives.

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Item 5. Conferences and Workshops (Attended) File. AutoText 16 (7/19/01)

Record copies of records created and/or maintained in paper and electronic formats concerning conferences and workshops attended by personnel. File includes agendas, correspondence, handouts, programs, and other related records.

Disposition Instructions: Erase/destroy in office records in paper and electronic formats when administrative value ends.

Item 6. Conferences and Workshops (Conducted) File. AutoText 17 (7/19/01)

Record copies of records created and/or maintained in paper and electronic formats concerning conferences and workshops conducted by staff or office personnel. File includes agendas, correspondence, critiques, handouts, programs, questionnaires, reports, reservations, training materials, and other related records.

Disposition Instructions: Transfer paper records to the custody of the University Archives after 5 years for appraisal and final disposition. Erase in office electronic records when administrative value ends and after records have been printed and filed into the office's filing system for eventual transfer to the University Archives.

Item 7. Contracts and Grants (Awarded) File. AutoText 268 (4-8-2002)

Reference copies of records created and/or maintained in paper and electronic formats concerning contracts and grants awarded to principal investigators for individual faculty research and/or departmental improvements. File includes contract and grant proposals (applications), notice of award and/or signed contracts, amendments or modifications, subcontract agreements, final progress reports/deliverables, patents or inventions, audit findings, and other related records. (Original records required for financial audits are maintained in the Office of Sponsored Research).

Disposition Instruction: Transfer final progress reports/deliverables in paper format to the custody of the University Archives 4 years after termination, final payments, and when released from all audits and when permission is obtained from the Office of Sponsored Research that authorizes transfer of these records to University Archives for appraisal and final disposition. Erase in office electronic versions of final progress reports/deliverables when administrative value ends and after released from all audits and after records have been printed and filed into the office's paper filing system for eventual transfer to the University Archives. Erase/destroy in office remaining records in paper and/or electronic formats when administrative value ends.

Item 8. Contracts and Grants Proposals (Pending) File. AutoText 80 (4-8-2002)

Records created and/or maintained in paper and electronic formats concerning pending contracts and grants submitted by principal investigators for individual faculty research and/or departmental improvements. File includes contracts and grant proposals (applications) and other related records.

Disposition Instructions: Transfer to Contracts and Grants (Awarded) File immediately, if contracts and grants are approved. Transfer to Contracts and Grants Proposals (Rejected) File immediately, if contracts and grants are rejected.

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- Item 9. Contracts and Grants Proposals (Rejected) File.** AutoText 81 (4-8-2002)
Records created and/or maintained in paper and electronic formats concerning rejected contracts and grants proposals submitted by principal investigators for individual faculty research and/or departmental improvements. File includes contract and grant proposals (applications) and other related records.
- Disposition Instructions:** Erase/destroy in office records in paper and electronic formats 4 years after submission.
- Item 10. Contracts, Agreements, and Leases File.** AutoText 18 (Revised 4-8-2002)
Record copies of contracts, agreements, and leases created and/or maintained in paper and electronic formats concerning services, facilities, and equipment used by school/department.
- Disposition Instructions:** Erase/destroy in office records in paper and electronic formats after 5 years after expiration if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- Item 11. Faculty Listings File.** AutoText 29 (7/19/01)
Record lists of school/department faculty created and/or maintained in paper and electronic formats.
- Disposition Instructions:** Erase/destroy in office records in paper and electronic formats after 5 years.
- Item 12. Faculty Recruitment File. (RESTRICTED ACCESS)** AutoText 30 (7/19/01)
Records created in paper and/or electronic formats concerning the recruitment of faculty members for school/department. File includes applications, correspondence, forms, interview notes, policies, reports, resumes, and other related records. (Comply with applicable provisions of General Statutes of North Carolina 126-22, 126-23, 126-24, 126-29, and 132-1.1 regarding confidentiality of personnel records.)
- Disposition Instructions:** Transfer applications and other records of successful candidates to Personnel (EPA) File immediately when official offer of employment is accepted. Erase/destroy in office applications and other records of unsuccessful candidates 3 years after date position is filled, if no charge of discrimination has been filed. If charge has been filed, destroy/erase in office 1 year after resolution of charge.

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Item 13. Maintenance Services (Facilities) File. AutoText 39 (7/19/01)

Record copies of records created and/or maintained in paper and electronic formats concerning facility maintenance services conducted for school/department. File includes correspondence, maintenance reports, work orders, and other related records.

Disposition Instructions: Erase/destroy in office records in paper and electronic formats 3 years after work is completed.

Item 14. Parking Assignments File. AutoText 42 (7/19/01)

Record copies of records created and/or maintained in paper and electronic formats concerning staff parking assignments. File includes applications and lists of staff parking assignments.

Disposition Instructions: Erase/destroy in office records in paper and electronic formats when administrative value ends.

Item 15. Personnel (EPA - One-Time-Payments) File. (RESTRICTED ACCESS) AutoText 46 (7/19/01)

Record copies of records created and/or maintained in paper and electronic formats concerning employees hired to fulfill temporary, short-term duties. "One-Time-Payments (OTPs)" apply to honoraria paid to visiting lecturers and consultants as well as to university staff and students who undertake duties outside, and not in conflict with, their regular work. File includes personnel action forms and other related records. (Comply with applicable provisions of General Statutes of North Carolina 126-22, 126-23, 126-24, 126-29, and 132-1.1 regarding the confidentiality of personnel records.)

Disposition Instructions: Erase/destroy in office records in paper and electronic formats 1 year after payment date and when released from all audits, whichever occurs later.

Item 16. Personnel (SPA) File. (RESTRICTED ACCESS) AutoText 83 (4-8-2002)

Personnel records concerning full time and part time SPA employees. File includes applications for employment, position action forms, letters of reference, and other related records. (Comply with applicable provisions of General Statutes of North Carolina 126-22, 126-23, 126-24, 126-29, and 132-1.1 regarding the confidentiality of personnel records.)

Disposition Instructions: Comply with retention instructions outlined in the SPA Personnel Forms Inventory Retention Module (<http://hr.unc.edu/Data/SPA/records/HR-retention.pdf>)

Item 17. Policies and Procedures File. AutoText 49 (7/19/01)

Record copies of policies and procedures created and/or maintained in paper and electronic formats concerning office administration.

Disposition Instructions: Transfer paper records to the custody of the University Archives after superseded or obsolete for appraisal and final disposition. Erase in office electronic records when administrative value ends and after records have been printed and filed into the office's filing system for eventual transfer to the University Archives.

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Item 18. Programs File. AutoText 50 (7/19/01)

Record copies of records created and/or maintained in paper and electronic formats concerning school/department academic programs. File includes correspondence, program proposals and descriptions, and other related records.

Disposition Instructions: Transfer paper records to the custody of the University Archives after 5 years for appraisal and final disposition. Erase in office electronic records when administrative value ends and after records have been printed and filed into the office's filing system for eventual transfer to the University Archives.

Item 19. Purchase Orders File. AutoText 246 (7/19/01)

Reference copies of purchase orders created and/or maintained in paper and electronic formats concerning purchases for supplies and equipment. (Record copies are maintained by the Controller's Office (Accounts Payable) and the Materials Support Department for audit purposes.)

Disposition Instructions: Erase/destroy in office records in paper and electronic formats after 2 closed fiscal years.

Item 20. Receipts File. AutoText 247 (7/19/01)

Reference copies of records created and/or maintained in paper and electronic formats detailing amounts received by department from various sources. File includes ledgers, receipt books, and other related records. (Record copies are maintained by Controller's Office (Accounting Services, Cash Management Office) for audit purposes.)

Disposition Instructions: Erase/destroy in office records in paper and electronic formats after 2 closed fiscal years.

Item 21. Research Projects File. AutoText 251 (7/19/01)

Reference copies of records created and/or maintained in paper and electronic formats concerning various school/department research projects. File includes correspondence, project descriptions, reports, and other related records.

Disposition Instructions: Erase/destroy in office records in paper and electronic formats after 5 years.

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- Item 22. Search Committee (For Individual Faculty) File. (RESTRICTED ACCESS)** AutoText 60 (7/19/01)
Record copies of records created and/or maintained in paper and electronic formats concerning activities of specially-formed search committees charged with recruiting new or replacement faculty. File includes applications, correspondence, resumes, and other related records. (Comply with applicable provisions of General Statutes of North Carolina 126-22, 126-23, 126-24, 126-29, and 132-1.1 regarding the confidentiality of personnel records.)

Disposition Instructions: Transfer application materials of successful candidates immediately after official offer of employment is accepted to Personnel (EPA) File. Destroy application materials of unsuccessful candidates 2 years after date position is filled, if no charge of discrimination has been filed. If charge has been filed, destroy in office 1 year after resolution of charge.

- Item 23. Speeches File.** AutoText 63 (7/19/01)
Record copies of speeches created and/or maintained in paper and electronic formats delivered by the school/department head or other members of the department's administrative staff.

Disposition Instructions: Transfer paper records to the custody of the University Archives after 5 years for appraisal and final disposition. Erase in office electronic records when administrative value ends and after records have been printed and filed into the office's filing system for eventual transfer to the University Archives.

- Item 24. Staff/Faculty Meetings File.** AutoText 64 (7/19/01)
Record copies of records created and/or maintained in paper and electronic formats concerning school/department staff and faculty meetings. File includes minutes of meetings, reports, and other related records.

Disposition Instructions: Transfer paper records to the custody of the University Archives after 5 years for appraisal and final disposition. Erase in office electronic records when administrative value ends and after records have been printed and filed into the office's filing system for eventual transfer to the University Archives.

- Item 25. Supplies and Equipment File.** AutoText 68 (7/19/01)
Record copies of records created and/or maintained in paper and electronic formats concerning supplies and equipment. File includes operating manuals, inventories, warranties, accounting statements and other related records.

Disposition Instructions: Transfer operating manuals to Materials Support Department, Materials Management and Distribution Division, Surplus Property Office when equipment is surplus. Destroy in office warranties and inventories when superseded or obsolete. Erase/destroy in office remaining records in paper and electronic formats after equipment is surplus and after released from all audits.

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Item 26. Surplus Property File. AutoText 69 (7/19/01)

Record copies of records created and/or maintained in paper and electronic formats concerning surplus property and its disposition. File includes inventories, disposal logs, and other related records.

Disposition Instructions: Erase / destroy in office records in paper and electronic formats 3 years after property disposal if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

Item 27. Telephone Billings File. AutoText 70 (7/19/01)

Record copies of monthly office telephone bills.

Disposition Instructions: Destroy in office after 5 years and when released from all audits.

Item 28. Travel File. See Page 8.

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Division of Hematology and Oncology

Amendment
9/23/2008

The following records series from this office's previously approved Records Retention and Disposition Schedule is amended as listed below and approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the above agency do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The North Carolina Department of Cultural Resources consents to the destruction or other disposition instructions specified in the schedule previously approved and amended below. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. The agency agrees to destroy, transfer or dispose of records in the manner and at the time specified herein.

28. Travel Records. DCR Approved 8/19/2008

Records concerning travel requests and reimbursements. Includes requests and authorizations, original and copies of receipts, correspondence, and other related records.

Disposition Instructions:

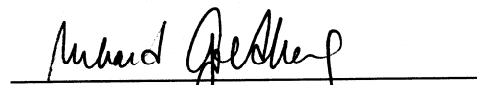
- a. Destroy in office original receipts after 5 years if no litigation, claim, audit, or other official action has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.
- b. Destroy in office all other records and reference copies of receipts after 2 closed fiscal years.

APPROVALS

For Department of Medicine Division of Hematology and Oncology

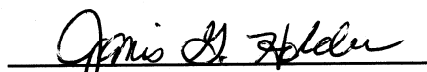


Floyd Whitney
Records Management Liaison



Richard Goldberg, MD
Division Chief

For University Archives and Records Management Services



Janis G. Holder
University Archivist

Approval date of original Schedule: 3/7/2006
Approval date of this amended Schedule: 11/14/08
Schedule # 4228-1148