

LLEINST 1610C
16 February 2005

LLE INSTRUCTION 1610C

SUBJECT: RETENTION OF RECORDS, REPORTS, & CORRESPONDENCE

REFERENCE: a. University's Record Retention Policy Issued by VP of Administration

ENCLOSURE: (1) Retention Schedule

1. **Purpose:** To establish a policy for the retention and subsequent disposal of records, reports, and correspondence.
2. **Discussion:** Records, reports, and correspondence should be retained only so long as their reference value outweighs the cost of file maintenance, retrieval, and storage. Retention periods of various files have been standardized across many institutions (e.g., Government) to ensure consistency. Once such retention periods are established, it is standard practice to review files, discard outdated material, and not reference reports or correspondence (exclusive of published material retained by libraries) that are older than a standard retention period.

The retention period of files generally corresponds with the types of files. Historical files are retained indefinitely; legal or contractual files for a set statutory period (e.g., three years after contract closure); subject files for as long as the subject is open; chronological files for one year; and data files for as long as required to support results.

3. **Procedures:**
 - a. **File Retention:** Laboratory files will be retained for the periods specified in the attached schedule.
 - b. **File Maintenance:** Individuals responsible for maintaining particular files will review files on an annual basis and discard or archive, as appropriate, material that is older than the applicable retention period.
 - c. **Archives:** Files that are to be retained indefinitely and for which local storage space is not available will be archived. Material to be archived will be packed together with an inventory listing of contents and delivered to the Accountant. The Accountant will maintain a master inventory of archived material and will arrange for the storage/retrieval of archived material.

4. Responsibilities:

- a. Division Directors:
 - (1) Authorize the disposal of files
- b. Group Leaders/Divisional Managers
 - (1) Coordinate the review and disposal of files in accordance with this instruction
- c. Accountant:
 - (1) Maintain the archive system
- d. Publications and Design Group Manager:
 - (1) Coordinate the retention/disposal of the historical files (quarterly and annual reports, reprints, lab reports, classification documents, etc.)
- e. Division Secretaries:
 - (1) Annually review and dispose of outdated files

Robert L. McCrory
Director

RETENTION SCHEDULE

| File | Retention Period |
|--|--|
| A. Historical | |
| 1. LLE Reviews* | Current FY: 50 copies each 5 years back: 25 copies each Farther back: 5 copies each |
| 2. Annual Reports* | Current FY: 100 copies each 5 years back: 25 copies each Farther back: 10 copies each |
| 3. Reprints* | Permanent circulation file |
| 4. Lab Reports* | Permanent circulation file |
| 5. Conference Presentations (unpublished) | 1 year |
| 6. Classification/Patent Review | 2 years |
| B. Legal and Contractual | |
| 1. Contracts and Grants | 3 years after closeout |
| 2. LLE Financial Reports and University Ledgers | 3 years after contract closeout |
| 3. Financial & Purchasing Transactions | |
| a. requisitions, purchase orders, CWO's, check requests, travel reports | 3 years |
| b. petty cash records | 4 years |
| c. budgets | 5 years |
| 4. Property Records | |
| a. Government funded | 3 years after contract closeout or 1 year after property disposed of, whichever is later |
| b. non-government funded | 1 year after property disposal |
| *One annual report copy to be archived. | |
| 5. Patents | 3 years after expiration |
| 6. Licenses and Royalty Records | 3 years after termination |

C. Subject and Letter (including proposals)

1. General correspondence
 - a. DOE letters 5 years
 - b. letters to sponsoring agencies 5 years
 - c. letters to/from Director's office 5 years
 - d. sensitive letters permanent
 - e. memos—University level permanent
(Jackson, Hess, etc.)
 - f. others 3 years
2. Proposals
 - a. DOE permanent
 - b. others 3 years
3. Personnel
 - a. cleared personnel permanent
 - b. others 3 years after termination
 - c. time/attendance records current FY plus 6 months

D. Chronological

E. Data

1. Shot records 10 years

F. Tritium Decommissioning Records permanent