Document Management Procedure

Issued: January 2008
Revised: May 2017

Compliance Unit Procedures

ORSP Compliance Unit supervises and manages this activity and is responsible for the following steps:

Archiving Files

1. Reviews award files for projects that have expired or are listed as "Inactive" in BI
2. Reviews each project file to determine if the sponsor details any special requirements regarding document retention
   a. If the sponsor calls for a longer retention period, staff assigns such a period to the file(s).
3. Sets a timeline for the files to be destroyed / purged according to the Document Mangement Policy (also detailed below)
4. Enters document destruction data into the Document Management Spreadsheet, ensuring that the information reflects the corresponding award. This will remain on the Compliance server in the *Doc Retention* folder.
   a. *All tabs* within the spreadsheet should be updated each time there is a change
   b. The data recorded in the spreadsheet includes:
      - Project ID
      - PI Name
      - Storage Date
      - Destruction Completed
5. Transfers file boxes to assigned storage for ORSP (storage cabinets D1-7 and C7 in BH 19)

Purging Documents

At the end of each fiscal year (in July), and if needed additionally during the year, prepare files to be purged:

1. Refer to the master spreadsheet to determine the files to be shredded.
2. Pull all paper out and put in in boxes designated for shredding. Save and re-use file folders, etc.
3. When all documents have been pulled, contact the University contractor for document shredding (currently CityWide Fiber) to inform them how many boxes of documents will need to be shredded and to coordinate a time for them to drop off bins for the files.
4. The contractor issues an estimate and an invoice. Compliance staff processes a request for payment.
5. Contractor drops off bins at arranged time. Compliance staff fills bins with documents to be shredded and coordinates with contractor to hand over documents for shredding.

GA/GSC Instructions for Archiving:

1. **Box files**: Box the files to send to storage in standard sized boxes: 12 x 10 x 15

2. **Notify Compliance Unit:** Once the boxes are packed, notify Compliance as to how many boxes need to be stored. Compliance will issue a number for each box, which should be written on the box label. Use the Compliance-provided templates for a spreadsheet and box label.
3. **Complete Detailed Spreadsheet:** Fill out the template with information about contents of each box, etc. When done, send electronically to Compliance to be added to the master tracking list.
4. **Complete a box label :**

STORAGE RECORD		*DO NOT TYPE OR WRITE IN THIS SPACE*	
1. Department:	Box	DESTROYED BY:	DESTROY DATE:
2. STORAGE DATE:	3. AUDIT DATE:	APPROVED BY:	
		METHOD::	
4. TEMPORARY STORAGE LOCATION	5. PERMANENT STORAGE LOCATION		
6. SPECIFY VALUE TYPE (check one or more of the boxes): ☐ OPERATIONAL: Required to perform its primary function ☐ LEGAL: Required to be kept by law, needed for litigation or investigation ☐ FISCAL: Related to financial transactions, required for audit or tax purposes ☐ HISTORICAL: Of long-term value to document past events ☐ VITAL: Critical to maintain to ensure continuity after a disruption / disaster 7. CONTENTS: File Folders Entitled as Noted Below			

1. Enter Department Name & the Box #
2. Enter the Storage Date
3. Enter Audit Date (if applicable)
4. Enter the Location: BH 19
5. Enter the Location: BH 19
6. Check box type that applies
7. Enter a general description of the contents of the box (details should already be in the spreadsheet)

5. **Make arrangements with Compliance to send box(es) to storage**

Document Purging Timeline

Type of record	Retention Period	Example: *In FY 13-14, should have files for…*
Project Files	3 fiscal years from the date of the filing of the final financial report, not including the current fiscal year	Projects with an end date (plus 90 days) from FY13-14, FY12-13, FY11-12, FY10-11
Compliance	3 fiscal years, not including current year	FY13-14, FY12-13, FY11-12, & FY10-11
Independent Contractors	3 fiscal years, not including current year	FY13-14, FY12-13, FY11-12, & FY10-11
Pre-Award (not funded)	2 fiscal years from submission date, plus current fiscal year	FY13-14, FY12-13, FY11-12
Personnel Files	2 fiscal years, not including current year	FY13-14, FY12-13, FY11-12
Investigation Files	Keep **all** files & boxes labeled "Investigation" indefinitely	