



DUKE UNIVERSITY RECORDS RETENTION GUIDELINES FACILITIES MANAGEMENT DEPARTMENT

DRAFT (June 2005)

The following records retention guidelines provide recommendations for the disposition of records created or maintained during the routine maintenance and repair of campus facilities. They complement Facilities Management Department Standard Practice number 14, revision 1 (June 4, 2001).

These guidelines apply to facilities management records and data stored on any and all media. They do not apply to records or data sets not otherwise listed in the guidelines, nor do they obligate an office to create a record or data set that previously did not exist.

Fiscal Records

Some information used in the management and oversight of facilities is financial in nature. An office should follow procedures laid out in Financial Services' [General Accounting Procedure 200.240](#), Retention Periods for Accounting Records, to dispose of fiscal records.

Electronic Records

Facilities Management relies almost exclusively on electronic or "born digital" records created with word processing, computer aided drawing, spreadsheet, electronic mail, website authoring, or database programs to carry out its business and activities. While the all-encompassing term "records" includes any recorded information stored on any medium, the guidelines attempt to recognize that a series may contain paper and electronic records. As electronic records are created, managed, and stored throughout their life cycle of usefulness, these guidelines should serve as a general strategy for identifying basic retention needs for different sets of information.

Using the Retention Guidelines

The retention guidelines identify *minimum* retention periods for facilities management records. Records not identified in these guidelines should not be disposed of without first consulting the unit AD, the [University Records Manager](#), the [University Archivist](#), or the [Medical Center Archivist](#). Records that are involved in an investigation, legal action or proceeding, audit, or program review, whether forthcoming or in progress, should be retained until the resolution of those actions.

Following the minimum retention period, the records in question should be disposed of according to the recommendations in these guidelines. In some cases it is important to destroy information (excluding records identified for permanent retention) using a method that preserves its confidentiality. Duke University maintains contracts with several shredding facilities; visit Procurement Services' website at <http://www.procurement.duke.edu/> for more information.



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If you need assistance or guidance in transferring records to the University or Medical Center Archives, visit (or call) <http://www.lib.duke.edu/archives> (919-684-5637) or <http://archives.mc.duke.edu> (919-383-2653).

The University Records Manager will review the retention guidelines for facilities management records periodically and will issue revisions as necessary and with the assistance of FMD staff.

If you maintain records that are not identified in these guidelines, visit <http://www.lib.duke.edu/archives/rm/> or call 919-684-6181 for assistance.

Off-site Storage

In most cases, offices responsible for maintaining records (if they are in traditional hardcopy formats) do not have adequate space to store them beyond one or two years. If records must be moved to an off-site storage location, consider the following needs:

- Access and retrieval, including frequency of retrieval, emergency access needs, and potential costs associated with getting to the records;
- Environmental conditions that provide stable and friendly conditions for the records;
- Security systems that prevent unauthorized access to the records;
- Filing systems that permit the rapid retrieval of records via a logical index, box list, or similar finding aid; and,
- The overall physical and intellectual control over the records for which you are the guardian.

Abbreviations and Definitions

Administrative Value—the usefulness of a record in the conduct of the office's business.

Minimum Retention—the minimum amount of time a particular series of records should be retained prior to disposition.

Permanent—an indefinite retention period; signifies that the records have sufficient value or importance to justify keeping them in perpetuity. Permanent retention also may be based on legal requirements or demonstrated and justifiable need. Long-term or permanent retention of electronic records requires resources for data migration, ensuring the integrity and trustworthiness of the data, and addressing hardware/software obsolescence. An office should consider the long-term availability of its resources prior to expressing an interest in retaining information permanently. The University Archives or the Medical



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Center Archives is the official repository for information with historical or enduring value.

Records—All recorded information, regardless of its physical form or characteristics, created or received pursuant to the transaction of University business or in the fulfillment of its educational, administrative, business, or legal obligations.

Record Series (or Series)—A group/set of identical or related records, information, or data that are normally used and filed or stored as a logical unit; synonymous with data set.

Duke University Records Retention Guidelines

Category Description: **Facilities Management Department** – Records concerning the maintenance, repair and minor alteration of virtually all campus facilities.

Primary Heading: Business Services

Series Title	Content	Minimum Retention	Notes
Account reconciliations - G/L accounts		Current fiscal year + 2 years	
Documentation of reconciliation of financial transactions		Current fiscal year + 2 years	
Financial statements (departmental copy)	Copies of financial statements	Current fiscal year + 1 year	Original in Accounting Services
Gross pay distribution sheets		Current fiscal year	Original in Corporate Payroll
Invoices	Copies of invoices from uniform vendors	1 year	Original in Accounts Payable
Journal vouchers	Paper copies of journal vouchers	Current fiscal year + 1 year	Original in Accounting Services; original R3 entry supporting documentation has minimum retention of current fiscal year + 7 years
Packing slips	Copies of packing slips attached to received goods	3 months	
Procurement card documentation	Receipts, charge slips, statements, etc.	Current fiscal year + 7 years	Following period of usefulness, records may be stored off-site for remainder of retention period
Timecards	Copies of timecards for biweekly employees	Current fiscal year + 1 year	Original in Corporate Payroll
Work order accounting sheets	Top copy of accounting sheet used to log work orders completed by each employee and determine billing for customers	Original: current fiscal year + 1 year; supervisor's copy: 1 year	

Primary Heading: Construction Services

Series Title	Content	Minimum Retention	Notes
Construction project records	Project specifications and drawings, CAD drawings, certificates of occupancy, change orders, certificates of substantial completion, financial records, etc.	Financial records - follow guidelines in GAP 200.240; remaining records - permanent	See FMD Standard Practice #14, rev. 1, "File Retention, Storage and Destruction Procedure"
Design and construction agreements		7 years after completion of project if not involved in official action	See FMD Standard Practice #14, rev. 1, "File Retention, Storage and Destruction Procedure"
Notices to proceed	Issued to contractors	7 years after completion of project if not involved in official action	See FMD Standard Practice #14, rev. 1, "File Retention, Storage and Destruction Procedure"

Primary Heading: Electrical Services

Series Title	Content	Minimum Retention	Notes
Contracts	Copies of contracts relating to electrical services construction projects	Until no longer useful	Original contracts in Construction Services
Electrical Services reference material and reports	Reference materials and reports concerning power outages, demand projections, etc.	Until no longer useful	
High Voltage vendor database	Electronic database used to track standing orders with vendors, expenditures for electrical projects, etc.	Update as necessary; retain data until no longer useful	
Meter readings database	Electronic database used to determine billing for usage and analyze campus growth	Update as necessary; retain data until no longer useful	
PCB reports	Reports detailing removal of electrical transformers and PCBs (polychlorinated biphenyls)	Permanent	
Project files	Estimates, correspondence with contractors or project managers, purchasing records, copies of blueprints(as-builts and revisions), copies of permits, etc. created for electrical services and high voltage projects	Until no longer useful	

Primary Heading: Grounds, Sanitation and Recycling Services

Series Title	Content	Minimum Retention	Notes
Grounds/sanitation worker time records	List time spent on litter control by employee; includes project code, vehicle number, etc.	Current fiscal year + 1 year	Data from these records is entered into the TRIMS database
Moving and storage records ("p" forms)	Forms used to track materials moved and stored, as well as "owner" information and fund codes, into and out of FMD warehouse space	3 years	
Quarry records	Summaries of stone taken from Duke's quarry (primarily tonnage) and delivered to project site, correspondence with masons and stone contractors, purchase orders, etc.	Destroy purchase orders after current year + 5 years; transfer remaining records to Archives when administrative value ends	University Archives has documentation about the quarry in its "Buildings File"
Sanitation tipping tickets	Landfill tipping tickets for sanitation and recycling deliveries	1 year	
TRIMS database	Electronic database containing equipment inventories and maintenance records, campus tree inventories, grounds and sanitation workers' time records, and other related data.	Update as necessary; retain data until no longer useful Destroy TRIMS reports when administrative value ends	
Vehicle records	Purchase and repair/maintenance records and vehicle registration records	Final disposition of vehicle/equipment	Records maintained by vehicle number

Primary Heading: Maintenance Services

Series Title	Content	Minimum Retention	Notes
7i Work Requests	Electronic work requests submitted via Datastream 7i system; each request identifies work request number, type, equipment, cost code, date created & reported, etc.	Archive when no longer useful; retain indefinitely	
As-built drawings	Copies of as-built drawings of facilities distributed to shops	Until no longer useful	
Equipment and operating manuals		Until no longer useful	

Warranties	Warranties for equipment, roofing materials, etc.	Until expired and no longer useful	
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Primary Heading: Steam Plant Services

Series Title	Content	Minimum Retention	Notes
Blueprints	Hardcopy and digital copies of blueprints of steam plant facilities	Until no longer useful	
Control systems data	Historical data collected from steam plant control systems, such as production, pressures, temperatures, etc.	Retain data until no longer useful	
Deliveries database	Database containing information about fuel deliveries for the Steam Plant, such as tonnage, sulfur content, etc.	Update as necessary; retain data until no longer useful	
Environmental Protection Agency (EPA) reports	Reports concerning emissions, fuel consumption, sulfur content analyses, and supporting data	2 years	
Equipment and operating manuals		Until no longer useful	
Logs	Hourly and daily logs (paper and electronic) of steam plant readings	Paper - 2 years; retain electronic data until no longer useful	
Permits	Emissions permits issued by NC Department of Environment and Natural Resources Safety Office	5 years	Permits must be renewed every 5 years and are also on file with Occupational & Environmental
Steam production and demand database	Database containing information about steam plant production and demand	Update as necessary; retain data until no longer useful	