

College of Dentistry Records Retention Schedule

(Contact person: Greg Mahaffa: 5-7154)

DESCRIPTION	CUSTODIAN	RETENTION REQUIREMENTS (yrs.)			OFFICIAL?	CONFID.?	VITAL?	CURRENT RECORD FORMAT	DUPLICATED ELSEWHERE?	SAFEGUARD MEASURES CURRENTLY IN PLACE?
		LEGAL	ACTIVE	NON-ACTIVE						
(CY: Current Yr)										
A/R	College of Dentistry	State-3 Federal-3	Permanent		Yes	No	Yes	Electronic & Paper	Yes	Computer backup
Backup documentation for cv's, deposits, etc.(Via GL)	College of Dentistry	CY + 3	CY + 3		Yes	No	No	Paper	No	Documents retained in Dental Administration
Backup documentation for equipment purchases, receiving documents, etc.)	College of Dentistry	CY + 3	Life of item + 3		Yes	No	No	Paper	No	Documents retained in Dental Administration
Budgets	College of Dentistry	State-3 Federal-3	Permanent		Yes	No	No	Electronic & Paper	No	Maintained within Admin storage area
Contracts	College of Dentistry?	CY + 10 after contract has expired	CY + 10 after contract has expired		Yes if Dentistry has the original	No	Yes	Paper	Yes	Active contracts maintained in the Dental Business Office and Dental Administration. Expired Contracts maintained in the Admin storage area
Inventory/Assets	Property Mngt. Office	NA	CY + 3		No	No	No	Paper & Microfiche	Yes	Maintained on UI Equip Inventory List
Maintenance agreements	Purchasing	NA	CY + 3		No	No	No	Paper	Yes	Maintained in each department and Dental Administration
Patient records	College of Dentistry	CY + 5	Permanent		Yes	Yes	Yes	Active-paper; Inactive-microfiche	No	Maintained within Central Records area
Paper Patient records-specimens and records	College of Dentistry	CY + 5	Permanent		Yes	Yes	Yes	Tissue and Paper respectively	Yes	Maintained within Central Records area
All Payroll files (includes Staff Benefits)	Human Resources	NA	Permanent		No	Yes	No	Paper	Yes	Active files kept in HR office; non-active kept in storage in South bldg.
Policies and procedures for the college.	College of Dentistry	State-3 Federal-3	3 Years		Yes	No	No	Paper	Yes	Retained in Dean's Dental Administration office (copies in several offices)

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Pre-award applications (Sponsored Research)	Sponsored Programs	NA	CY + 3		No	No	No	Paper	Yes	Retained in both DOWS and Dental Administration
Procurement Card Database & Reports	Voucher Processing Team	NA	NA		No	Yes	No	Paper	Yes	Copies retained at each department
Promotion & Tenure (Includes Promotion record and dossier. Supplementary materials are optional.)	College of Dentistry	CY + 7 after employee terminates	Permanent		Yes	Yes	Yes	Paper	No	Kept in secure area within Administration suite.
Purchase Orders	Purchasing	NA	NA		No	No	No	Paper	Yes	Copies retained at each department
Requests and memoranda from Central Admin.	College of Dentistry	CY + 3	CY + 7		Yes	Yes	Yes	Paper	No	Kept in secure area within Administration suite.
Requisitions to a Dept. (requesting product/service)	Dept. providing product/service	Until product/service is received	CY + 2		Yes/No	No	No	Paper	Yes	Copies retained at each department
Requisitions from a Dept. (providing product/service)	Dept. providing product/service	CY + 3	CY + 3		Yes	No	No	Paper	No	Copies retained at each department providing service
Requisitions (thru Purchasing)	Purchasing	NA	CY + 3		No	No	No	Paper	Yes	Copies retained in both the department and Dental Administration
Search Materials (related to filling a vacancy)	College of Dentistry	CY + 3	Permanent		Yes	Yes	No	Paper	No	Active files kept in HR office; non-active kept in storage in South bldg.
Student Records-Graduate & Undergrad	College of Dentistry	Undergrad: CY + 5 Grad: CY + 10	Undergrad: CY + 5 Grad: CY + 10		Yes	Yes	Yes	Paper	No, except official transcript on file in Registrar's Office	Kept in secure area within Administration suite.
Statement of Account (SOA)	Accounting Services	NA	CY + 3		No	No	No	Paper	Yes	Retained in each department, Dental Administration and storage area

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Travel Vouchers	Travel	NA	CY + 3		No	No	No	Paper	Yes	Retained in Admin storage area and in each department
UIMC Charges	College of Dentistry	State-3 Federal-3	CY + 3		Yes	No	No	Paper	No	Supporting Documents retained in Central Dental Supply for SSIMS Fees and in Dental Administration & Admin storage area for Pharmacy
Vouchers & Invoices (before 1/1/98)	A/P	NA	CY + 3		No	No	No	Paper	Yes	Retained by each department
Vouchers & Invoices < \$10,000 (after 1/1/98)	College of Dentistry	State-3 Federal-3	CY + 3		Yes	No	No	Paper	Yes	Retained by each department
Vouchers & Invoices > \$10,000 (after 1/1/98)	A/P	NA	CY + 3		No	No	No	Paper	Yes	Retained by each department
Office Correspondence of an Official Nature	College of Dentistry	State-3 Federal-3	Permanent		Yes	No	Yes	Paper	No	Kept in secure area within Administration suite.
Notes:										
1) The retention period for convenience copies is 3 years which is a guideline and not a requirement.										
2) The custodian has official responsibility for retention and disposition of the record.										
3) An "Official Record" is the single official copy of a document maintained on file by an administrative unit of the UI which is usually, but not always, the original.										
Convenience copies are not official records.										
4) A "Confidential Record" is unavailable to the general public unless otherwise ordered by court, by the lawful custodian or by another person duly authorized.										
Medical, student and personnel files are examples.										
5) A "Vital Record" is one which is absolutely essential in order to continue doing business or to preserve the rights of the unit, its employees and the general public.										
6) "Office Correspondence of an Official Nature" refers to policies, procedures, reports (internal or external), etc. that are used in the administration and management of the department and that should be memorialized.										