

## Records Retention Schedule - Graduate College

Caroline Mast 5-2142

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)								
<b><u>Personnel Files (Graduate College)</u></b>										
Staff employment records	Donna Welter	HR	CY + 3		No	Yes	No	Paper	HR	Permanent on paper and/or
Performance appraisals for merit and P&S staff	Donna Welter	HR	CY + 3		No	Yes	No	Paper	No	Date of Perf. Eval. on HR
Staff searches	Donna Welter	GC	CY + 3		Yes	Yes	No	Paper	No	None
Appeals of merit and P&S reclassification decision	Donna Welter	GC	Indefinitely		No	Yes	No	paper	yes	None
Staff payroll records	Donna Welter	HR	CY + 3		No	Yes	No	Paper	HR	Permanent on paper and/or
Immigration documentation	Donna Welter	HR	CY + 3		No	Yes	No	Paper	HR	Permanent on paper and/or
Records on deans, assoc. deans, asst. deans	Donna Welter	GC	Permanent		No	Yes	No	Paper	Some - HR/Provost	Permanent on paper and/or
<b><u>Personnel Files (SLIS/URP/POPOI)</u></b>										
Faculty offer letters and related documentation	Caroline Mast	Provost	3 yrs after leaving University		Y/N	Yes	No	Paper	Yes	None
Probationary reviews	Caroline Mast	Provost	Unitl P&T decision is complete		No	Yes	No	Paper	Yes	None
P & T files for current faculty	Caroline Mast	College/?Provost	CY + 7 after employee terminates*		Yes	Yes	N/Y	Paper	Dept?	None
P & T files for faculty who left the UI	Caroline Mast	College/?Provost	CY + 7 after employee		Yes	Yes	No	Paper	Yes	None thru GC
P&T procedural guidelines	Caroline Mast	Provost	Permanent or LA = CY + 3		Yes	No	Yes	Paper/PC	Yes	B/U tapes from network
Peer reviews	Caroline Mast	Provost	2 most recent		Yes	Yes	yes	Paper	No	none
Faculty CV's	Caroline Mast	GC	most current		Yes	No	No	Paper	Yes	None

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		(CY: Current Yr)								
Faculty searches	Caroline Mast	GC/AA	CY + 3		Yes	Yes	No	Paper	Yes	None
DEO searches	Caroline Mast	GC/Affirm Action	CY + 3		Yes	Yes	No	Paper	AA	None
Reports on faculty extramural activities	Caroline Mast	Provost	CY + 3		Yes	No	No	Paper	No, only summary	None
Interdisciplinary Program Files	Caroline Mast	GC	Indefinitely		Yes	Varies	No	paper	Indiv. Program	
Graduate Student Records	Eunice Prosser	GC/dept	Indefinitely		Yes	Yes	Yes	paper	Some in dept.	None
Fellowship files except GMF	Donna Welter	GC	Indefinitely		Yes	Yes	No	Paper	No exept Payroll	No
Grad Merit Fellowship files	Kathy Klein	GC/dept	Indefinitely		Yes	Yes	No	Paper	No except Payroll	No
Miscellaneous Fellowship files	Kathy Klein	GC/dept	Indefinitely		Yes	Yes	No	Paper	No except Payroll	No
Summer Research Opportunity Program	Diana Bryant	GC	CY + 5		Yes	Yes	No	Paper	CIC Office	No
GSS Travel files	Paul Meintel	Travel	5 yrs		Yes	No	No	Paper	Travel office	No
Scholarship Nomination/Application	Donna Welter	GC			Yes	Yes	No	Paper	No except Payroll	No
<b>Data Files</b>										
GRE/GPA	Caren Cox	Admissions/Registrar's Office	All summary/rankings + last 2 yrs		No	No	Yes	Paper	Profile database	computer/microfiche
Ethnic Admissions/Grad Counts	Caren Cox	Admissions/Registrar's	All falls + last 2 yrs		No	No	Yes	Paper	Adm. /Reg. Off.	computer/microfiche
Correlations	Caren Cox	Admissions/Registrar's	CY		No	No	Yes	Paper	Profile database	computer/microfiche
Grad Counts (Ext/S&E)	Caren Cox	Registrar's Office	CY + 1		No	No	Yes	Paper	Reg. Office	computer/microfiche
Degree Counts	Caren Cox	Registrar's Office	1968-3 to present		No	No	Yes	Paper	Reg. Off.	computer/microfiche

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		LEGAL	ACTIVE	NON-ACTIVE						CURRENTLY IN PLACE?
		(CY: Current Yr)								
Foreign Grad/UG Counts	Caren Cox	Admissions/Registrar's	last 5 yrs		No	No	Yes	Paper	Profile database	computer/microfiche
Grad Admiss. Status Counts	Caren Cox	Admissions	90-4 to present		No	No	Yes	Paper	Adm. Off.	Microfiche fall 83 on
Student Appointments	Caren Cox	Adm/Registrar/Payroll	CY + 2		No	Yes	Yes	Paper	Profile database/Payroll	computer/microfiche
<b><u>Graduate Program Files</u></b>										
Ph.D and Masters Program proposals and Gen. Program Review Files	Assoc. Dean/Caren Cox	GC	Permanent		Yes	No	No	Paper	Indiv. Dept./prog.	None
IDGP, SLIS, URP, POROI Program Review Files	Caroline Mast	GC/CLA	Most recent review		Yes	Yes	No	Paper	CLA	No
	Caroline Mast	GC	Permanent		Yes	Yes	No	Paper	No	B/U on network
<b><u>GC Meeting Files</u></b>										
Graduate Council Meetings agendas and Graduate Faculty Meeting agendas and minutes	Caren Cox/Caroline Mast	GC	Permanent		Yes	No	Yes	Paper	Yes/ Deans	CY on web
Graduate Directors Meetings agendas and	Dean/Caroline Mast	GC	Permanent		Yes	No	Yes	Paper	Yes/ Deans	CY on web
List of actions taken at Council/Faculty Mtgs	Dean/Caroline Mast	GC	Permanent		No	No	No	Paper	Yes/ Deans	none
Collegiate Deans Mtg	Assoc. Dean/Caren Cox	GC	Permanent		No	No	No	Paper	No	computer network
Assoc. Provost Mtg.	Dean/Caroline Mast	Provost	5 yrs		Yes	Yes	No	Paper	Provost Off	none
	Dean/Caroline Mast	Provost	5 yrs		Yes	Yes	No	Paper	Provost Off	none
<b><u>GC Administrative Files</u></b>										
Strategic plans	Caroline Mast	Provost	Permanent		Yes	No	No	Paper	Yes	Current plan on PC

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Manual of Rules & Regulations	Caren Cox	GC	Permanent		Yes	No	Yes	Paper/Web	Yes	B/U on network tapes
Rules for Thesis/Dissertation	Caren Cox	GC	Permanent		Yes	No	Yes	Paper/Web	Yes	B/U on network tapes
<b>GC Budget Related Files</b>										
Statement of Accounts	Donna Welter	Accting Services	CY + 2		No	No	No	paper	Yes	CY+2 on web, Permanent on
Purchase Orders	Donna Welter	Purchasing	CY + 3		No	No	No	paper	Purchasing	CY on web, CY + 5 on microfilm
Requisitions thru Purchasing	Donna Welter	Purchasing	CY + 3		No	No	No	Paper	Purchasing	CY on web, CY + 5 on microfilm
Requisitions from a Dept. (providing)	Donna Welter	GC	CY + 3		Yes	No	No	paper	A/P	A/P retains CY + 6
Requisitions to a Dept. (requesting)	Donna Welter	Dept. providing service	Until product/service is rec'd		No	No	No	paper	A/P	A/P retains CY + 6
Vouchers/Invoices before 1/98	Donna Welter	Accts. Payable	CY + 3		No	No	No	Paper	Yes, A/P	A/P retains CY + 6
Voucher/Invoices < \$10,000 after 1/98	Donna Welter	State 3 Federal 3	CY + 3		Yes	No	No	paper	Receiving Dept.	Rec. Dept retains CY + 3
Voucher/Invoices > \$10,000 after 1/98	Donna Welter	State 3 Federal 3	CY + 3		No	No	No	Paper	Yes, A/P	CY on web, CY + 6 on microfilm
Travel Vouchers	Donna Welter	State-3 Federal-3	CY + 3		No	No	No	paper	Yes, Travel	Travel retains CY + 3
Foundation account summaries	Donna Welter		CY + 3		No	No	No	paper	Yes, Fndt.	Online Foundation web
Departmental allocation letters (Report of funds)	Donna Welter		CY + 5		No	No	No	Ppaper/PC	No	None
Departmental recurring salary budget files	Donna Welter		CY + 5		Yes	Yes	Yes	Paper	Budget Office	Budget Mgm. System
Requests for equipment	Donna Welter		CY + 3		No	No	No	Paper	No	None
Maintenance Agreements	Donna Welter		CY + 3		No	No	No	paper	Purchasing	Kept for Life of item by
Equipment inventory	Donna Welter		CY + 3		No	No	No	Paper	Property/Management Off	CY + 5

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Requests for office space	Donna Welter									
Space inventory										
Correspondence, Statements, Reports,	Donna Welter	State-3, Federal-3	CY + 1		2 Yes	No	Varies	Paper	No	
<b><u>Office Correspondence of an Official Nature</u></b>	Various	State-3 Federa	Permanent		Yes	Varies	No	Paper, PC	Varies	Varies
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 FUS 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.										

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