

Office of the Provost: Records Retention Schedule Template

Administration Steve Rhodes 5-3990

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)								
PROVOST										
Program reviews										
Accreditation reviews	College, dept or program		normally CY+7	permanent	no	yes	no	paper	College/dept/program; agency (if applicable)	locked office
Collegiate reviews	Provost		CY+7	permanent	yes	yes	no	paper	College	locked office
Departmental reviews	College		normally CY+7	permanent	no	yes	no	paper	Department, Provost	locked office
Consultant reports	Provost		CY+3	permanent	no	some	no	paper	no	locked office
Dean/Director reviews	Provost	yes	CY+7 after employee terminates		yes	yes	no	paper	no	locked office
Internal Audits	Provost		CY+3		yes	yes	no	paper	no	locked office
Organizational audits	Provost		CY+3		yes	yes	no	paper	no	locked office
Student appeals	Provost	yes	CY+3		yes	yes	no	paper	no	locked office
Ombuds Office: reports, correspondence, review	Provost		CY+3		some	some	some	paper	some	locked office
Search materials										
Search materials	Provost		CY+3		yes	yes	no	paper	no	locked office
Policy, planning, contractual agreements										
Extra-University agreements	Provost	yes	Life of agreement +2	permanent	yes	some	yes	paper	yes	locked office
Facilities planning	FSB		CY+3		no	no	no	paper, elec	yes	locked office
General University policy	President		CY+3		no	no	no	paper, elec	yes	
Internal University agreements	Provost	yes	Life of agreement +2	permanent	yes	some	yes	paper	yes	locked office
Provost office policy	Provost		CY+3	permanent	yes	no	yes	paper, elec	yes	locked office
Provost office organization	Provost		CY+3	permanent	yes	yes	no	paper, elec	no	locked office
Strategic planning and indicators	Provost		CY+3	permanent	yes	no	no	paper, elec	no	locked office
Personnel records										
Personnel files: office staff	Provost		CY+7 after employee terminates		yes	yes	no	paper	some	locked office

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(CY: Current Yr)										
Correspondence										
Blood-borne pathogen exposure statements, annual review	Health Protection Office UIHC		CY+3		no	no	no	paper	yes	locked office
Correspondence: Units reporting to the Provost	Provost		CY+3		yes	some	some	paper, elec	some	locked office; elec backup
Faculty/staff/student awards	Provost		CY+3	permanent	yes	some	no	paper, elec	some	locked office; elec backup
Office Correspondence: general	Provost		CY+3		yes	some	some	paper, elec	some	locked office; elec backup
Regents correspondence	Provost		CY+3	permanent	yes	some	yes	paper, elec	some	locked office; elec backup
Regents materials	Board office		CY+3	permanent	no	no	yes	paper, elec	yes	locked office
Financial records										
Procurement card receipts	Provost		CY+3		no	no	yes	paper	no	locked office
Purchasing forms, documentation	Purchasing		CY+3		no	no	yes	paper	some	locked office
Requisitions	Accounts Payable		CY+3		no	no	no	paper	yes	locked office
Statements of account	Accounting Management		CY+2		no	no	yes	paper, elec	yes	locked office
Travel vouchers: Deans, Directors	Colleges/units		CY+3		no	no	no	paper	no	locked office
Travel vouchers: Office staff	Travel		CY+3		yes	no	no	paper	some	locked office

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		LEGAL	ACTIVE	NON-ACTIVE						
		(CY: Current Yr)								
ASSOCIATE PROVOST FOR FACULTY										
Faculty development										
Faculty development award materials: career development awards, Faculty Scholar awards, Global Scholar awards	AP Faculty	yes	yes	CY+3	yes	no	yes	paper, electronic	college/dept	backup in college/dept
Old Gold Summer Fellowship materials	AP Faculty	no	yes	CY+3	yes	no	yes	paper, electronic	college/dept	backup in college/dept
Other faculty development program materials: Regents' Awards for Faculty Excellence; Iowa Regents Fellowship Awards	AP Faculty	no	yes	CY+3	yes	no	no	paper, electronic	college/dept for all but CIC-ALP	backup in college/dept
Iowa Regents Awards materials	AP Faculty	no	yes	CY+3	yes	no	no	paper, electronic	Faculty Senate Office for RAFF	backup in Faculty Senate Office
Office Correspondence of an Official Nature										
Requests and correspondence re: personnel actions (not HRIS forms): complaints, salary analyses, payback agreements, track changes, probationary extensions, etc.	AP Faculty	yes	permancnt	CY+4	yes	yes	yes	paper	college/dept personnel file	may be backukp copies in some cases
Early and Phased Retirement Agreements	AP Faculty	yes	permancnt	CY+4	yes	yes	yes	paper	Benefits Office	backup copies
HRIS personnel forms	AP Faculty	yes (for official copy)	permanent	CY+4	no	yes	yes (official)	paper, electronic	HRIM/ Payroll/ Benefits	NA
Joint appointment agreements	AP Faculty	yes	permanent	CY+4	no	yes	no	paper	college/dept personnel file	backup copies
Regents' reports and materials: tenure, resignation, CDA requests and reports, consulting activities	AP Faculty	yes	CY+5	archived	yes	no	yes	paper/electornic	Board Office	NA
Conflict of Interest in Employment management	AP Faculty	yes	CY+5	CY+3	yes	no	no	paper	FUS	backup copies
Emeritus Council materials	AP Faculty	no	CY+3	CY+3	yes	no	no	paper	web site	paper/electronic
Policy notification materials	FUS	yes	CY+3	CY+3	no	no	no	paper	FUS (official)	backup copies
Grievances: P&T, unfitness, ethics, sexual harassment, consensual relations, etc.	Presiding Officer, Faculty Judicial Commission	yes	CY+5	permanent	yes	yes	no	paper	Investigating Officer; General Counsel	backup copies

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		LEGAL	ACTIVE	NON-ACTIVE						
		(CY: Current Yr)								
University/Collegiate policies										
Promotion and tenure procedures	AP Faculty	yes	permanent	CY+7	yes	no	yes	paper/electronic	web page	electronic backup
Hiring procedures no covered by Operations Manual	AP Faculty	yes	permanent	CY+7	yes	no	no	paper/electronic	web page	electronic backup
Faculty Handbook	AP Faculty	no	permanent	CY+7	no	no	no	web page	server	electronic backup
ASSOCIATE PROVOST FOR UNDERGRADUATE EDUCATION										
HRIS transaction forms	AP/Undergrad	no	CY+3		no	some	no	paper	yes	locked office

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		LEGAL	ACTIVE	NON-ACTIVE						
		(CY: Current Yr)								
ASSISTANT PROVOST										
SUMMER SESSION										
Summer session appointments	UI Human Resources				no	yes	no	paper	yes	
Summer session financial documentation, statements	IRM				yes	no	no	paper		
Summer session brochure files	IRM/Printing Dept?				yes	no	no	paper	yes	
Iowa Lakeside Laboratory records	IRM					yes	no	paper		
Summer session class counts	Registrar				no	no	no	paper	yes	
Delaware National Cost & Productivity study files	IRM				yes	no	no	paper, electronic	University of Delaware	
INFORMATION RESOURCE MANAGEMENT (IRM)										
Board of Regents materials: docket books, minutes, copies of items submitted	Provost		permanent		Yes, for academic matters	no	yes	electronic/paper	yes	electronic backups
Course organization data: records of faculty involvement in instruction by course	IRM		permanent		yes	no	yes	electronic	yes: colleges	electronic backups
Distinguished professorships/chairs: database	Provost		permanent		yes	no	no	electronic	no	electronic backups
Faculty records: appointment history, catalog information (Faculty Status Database)	Provost		permanent		yes	no	yes	electronic	snapshot recordsets saved annually	electronic backups
Inventory/assets	Property Management		permanent		no	no	no	electronic	no	electronic backups
Post-tenure allocation data	IRM		permanent		yes	no	no	electronic	yes: colleges	electronic backups
Promotion and tenure summary data: list of candidates, final report to Board of Regents	Provost		permanent		yes	yes	no	electronic	no	electronic backups
Review of Operations	IRM		permanent		yes	no	yes	electronic	yes: colleges	electronic backups
AAUDE and IPEDS files	IRM		U of Iowa: permanent; Big10: 10 yrs; all others: 5 yrs		yes	no	no	paper, electronic	no	
Backup documentation for cv's, deposits, purchases, receiving documents, etc.	IRM	CY+3	CY+3		yes	no	no	paper	some yes	
Budgets, including Provost commitments	IRM	CY+3	CY+3	permanent	yes	no	no	paper/electronic	some yes: Budget Office	electronic backups

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(CY: Current Yr)										
Office correspondence of an official nature	IRM		permanent		yes	some yes	no	electronic/paper		electronic backups
IDED Lottery Chairs: agreement excerpts, correspondence	Business Office (agreements); IRM (all other)		permanent		no	some yes	no	paper	yes (agreements)	
Interdepartmental requisitions	Dept providing product/serv		CY+3		no	no	no	paper	yes	
Miller Endowment	IRM		permanent		no	yes	no	paper	yes	
Payroll files (Deans, directors payroll forms/offer letters; Dept 0100 payroll forms	Human Resources and Provost		permanent		no	yes	no	paper	yes	
Procurement card information and reports	Voucher Processing Team		CY+3		no	yes	no	paper	yes	
Purchase orders/requisitions	Purchasing		CY+3		no	no	no	paper	yes	
Statements of account	Accounting Services		CY+3		no	no	no	paper	yes	
Telecommunications charges	IRM		CY+3		no	no	no	paper	yes	
Travel vouchers	Travel Office		CY+3		no	no	no	paper	yes	
UI Foundation documents	IRM		permanent		no	no	no	paper	yes	
Vouchers & invoices <\$10,000	IRM		CY+3		yes	no	no	paper	?	
Vouchers & invoices > \$10,000	Accounts Payable		CY+3		no	no	no	paper	yes	

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ASSOCIATE PROVOST FOR DIVERSITY										
Backup documentation for cv's, deposits, purchases, receiving documents, etc.	Opportunity at Iowa	CY + 3	CY + 3		Yes	Yes	No	Paper, PC	Some yes	Stored in locked file.
Boards, committees external to UI	Opportunity at Iowa	NA	As needed		Yes	No	No	Paper	Yes	Stored in non-public area; offices locked, non-business hours
Budgets	Opportunity at Iowa	State-3 Federal-3	CY + 3		Yes	No	No	Paper, PC	Yes	Same as above
Gift & Grant Awards	Grant Accounting	CY + 5 after award expired	CY + 3	Permanent as needed	No	No	No	Paper	Yes	Stored in locked file.
Faculty Diversity Opportunities Program	Opportunity at Iowa	NA	CY + 3	Perm-anent	Yes	Yes	No	Paper, PC	Yes	Stored in locked file.
Inventory/Assets	Provost Office	State-3 Federal-3	CY + 3		No	No	No	Paper, PC	Yes	Stored in non-public area; offices locked, non-business hours
Outreach Contacts	Opportunity at Iowa	NA	PC-Permanent Paper-CY + 1		Yes	Yes	No	Paper, PC	Yes	Same as above
Outreach Events/Programs	Opportunity at Iowa	NA	PC-Permanent Paper-CY + 1		Yes	No	No	Paper, PC	Yes	Same as above
Personnel Files	Opportunity at Iowa	CY + 3 after termination	CY + 3 after termination		Yes	Yes	No	Paper	No	Stored in locked file.
Procurement Card Information & Reports	Voucher Processing Team	NA	CY + 3		No	Yes	No	Paper, PC	Yes	Same as above
Purchase Orders	Purchasing	NA	CY + 3		No	No	No	Paper, PC	Yes	Same as above
Requisitions to a Dept. (requesting product/service)	Dept. providing product/service	Until product/service is received	CY + 3		No	No	No	Paper, PC	Yes	Same as above
Requisitions (thru Purchasing)	Purchasing	NA	CY + 3		No	No	No	Paper, PC	Yes	Same as above
Service contracts, maintenance agreements	Provost Office	NA	CY + 3		No	No	No	Paper, PC	Yes	Same as above
Search Materials (related to filling a vacancy)	Opportunity at Iowa	CY + 3	CY + 3		No	Yes	No	Paper	Yes	Stored in non-public area; offices locked, non-business hours
Statement of Account (SOA)	Accounting Services	NA	CY + 3		No	No	No	Paper	Yes	Stored in locked file.

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Strategic Planning	Provost Office	NA	Current in office suite	Perm-anent	No	No	No	Paper	Yes	Stored in non-public area; offices locked, non-business hours
Travel Vouchers	Travel	NA	CY + 3		No	No	No	Paper	Yes	Same as above
UI Foundation (various records)	Opportunity at Iowa	State-3 Federal-3	CY + 3	Perm-anent	No	Yes	No	Paper	Yes	Stored in locked file.
Units Reporting to Opportunity at Iowa	Opportunity at Iowa	State-3 Federal-3	Current in office suite	Perm-anent	No	Yes	No	Paper	Yes	Stored in non-public area; offices locked, non-business hours
Unit Reviews	Opportunity at Iowa	State-3 Federal-3	Current in office suite	Perm-anent	No	Yes	No	Paper	Yes	Same as above
Vouchers & Invoices (before 1/1/98)	A/P	NA	CY + 3		No	No	No	Paper, PC	Yes	Stored in locked file.
Vouchers & Invoices <\$10,000 (after 1/1/98)	Opportunity at Iowa	State-3 Federal-3	CY + 3		No	No	No	Paper, PC	Yes	Same as above
Vouchers & Invoices >\$10,000 (after 1/1/98)	A/P	NA	CY + 3		No	No	No	Paper, PC	Yes	Same as above
Office Correspondence of an Official Nature (Unit policies & procedures, misc information, project files)	Opportunity at Iowa	State-3 Federal-3	Pertinent info. Kept permanently		Yes	Yes, some	No	Paper	Yes, some	Stored in non-public area; offices locked, non-business hours

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		(CY: Current Yr)								
ASSOCIATE PROVOST FOR INTERNATIONAL PROGRAMS										
Annual BOR report	AP International		CY + 3	perm.	yes	no	yes	paper	yes (electron)	locked office
Stanley-UI Fdn Support Organization annual report	AP International		CY + 3	perm.	yes	yes	some	paper	yes (electron)	locked office
International linkages	AP International		Duration of active linkage		yes	no	some	paper	yes (Int'l Ctr)	locked office
IP Personnel files (correspondence, not HR)	AP International		CY + 3		yes	yes	some	paper	no	locked office
Search materials for certain positions	AP International		CY + 3	perm.	yes	yes		paper	no	locked office
AP/IP travel documentation	AP International		CY + 3		yes	some		paper	yes (IRM,IC)	locked office
IP Grants files	AP International		CY + 3		yes		yes	paper	some (IC)	locked office
IP Program files	AP International		CY + 3		some	some	some	paper	some (IC)	locked office
(note: HR, Linkage, Programmatic, Budgetary & many miscellaneous files are housed at the International Center--a separate Records Retention Schedule will be produced by the Director of International Programs)										
Office Correspondence of an Official Nature	AP International		CY + 3		some	some	some	paper & electr	some	locked office

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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.										