

School of Social Work Records Retention Schedule

(Contact Person: Lois Burkett (5-1263))

DESCRIPTION	CUSTODIAN	RETENTION REQUIREMENTS (yr)			OFFICIAL	CONFID.?	VITAL?	CURRENT RECORD FORMAT	DUPLICATED ELSEWHERE?	SAFEGUARD MEASURES CURRENTLY IN PLACE?
		LEGAL	ACTIVE	NON-ACTIVE						
			(CY: Current Yr)							
DEO Files (General)										
DEO Mailings	Bev Sweet	CLA	CY + 3		no	no	no	paper/website	yes	none
Strategic plans (Department)	Bev Sweet	Social Work	Indefinitely		yes	no	no	paper/PC	yes	none
DEO Files (Faculty)										
Faculty CV's	Bev Sweet	Social Work	Current version		yes	no	no	paper/PC	yes	PC backup
Faculty deployment letters	Bev Sweet	Social Work	CY + 3		yes	no	no	paper/PC	yes	PC backup
Faculty Development Award	Bev Sweet	CLA	3 Yrs after completion of award		no	no	no	paper	yes	none
P & T procedural guidelines	Bev Sweet	Provost	Indefinitely		no	no	no	paper/website	yes	website
P & T files for current faculty	Bev Sweet	Provost	Indefinitely		yes	yes	no	paper	no	none
Peer reviews	Bev Sweet	Provost	The two most recent		yes	yes	no	paper	no	none
Probationary reviews	Bev Sweet	Provost	Until P&T decision is complete		yes	yes	no	paper	yes	none
Reports on faculty extramural activities	Bev Sweet	Provost	CY + 3		yes	no	no	paper	no/only summary	none
CLA Related Files										
Educational Policy Committee minutes	Bev Sweet	CLA	CY + 3		no	no	no	paper	yes	none
Educational Policy Committee Agenda and materials	Bev Sweet	CLA	CY + 3		no	no	no	paper	yes	none
Executive Committee minutes	Bev Sweet	Manual of Procedure	CY + 3		no	no	no	paper	yes	none
Faculty Assembly agendas	Bev Sweet	CLA	CY + 3		no	no	no	paper	yes	none
Faculty Assembly minutes	Bev Sweet	CLA	CY + 3		no	no	no	paper	yes	none
Strategic plans - University	Bev Sweet	Provost	CY + 3		no	no	no	paper	yes	none/web
Departmental Files										
Committee Minutes: Faculty Meeting, Curriculum, etc.	Kate Kemp	Social Work	CY+8		no	no	no	paper/PC	no	none/PC backup
Continuing Education Files	Kate Kemp	Social Work	10 years		yes	no	yes	paper	no	none
CSWE Self Study	Kate Kemp	Social Work	permanent		yes	no	yes	paper/PC	yes	none
Historical documents	Kate Kemp	Social Work	permanent		no	no	no	paper/PC	no	none

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School Policies	Kate Kemp	Social Work	permanent		yes	no	yes	paper/PC	no	none/PC backup
Academic Program Files										
Grade Reports	Susan Dirks	Registrar	Indefinitely		no	yes	yes	paper	yes	none
Program Materials Files	Susan Dirks	Social Work	CY		yes	no	yes	paper/PC	no	paper none/PC backup
Course Outlines	Susan Dirks	Social Work	Indefinitely		yes	no	yes	paper/PC	no	paper none/PC backup
Course Evaluations	Susan Dirks	Social Work	Indefinitely		yes	no	yes	paper	no	none
Faculty Evaluations	Kate Kemp	Social Work	Indefinitely		yes	yes	yes	paper	no	none
Student Records										
Current Student Academic files	Susan Dirks	Social Work	current thru matriculation		yes	yes	yes	paper	no	none
Current Student Academic files off-campus center Des Moines	Madelyn Bowersox	Social Work	current thru matriculation		no	yes	yes	paper	yes	none
Current Student Academic files off-campus center Quad Cities	Mary Newcomb	Social Work	current thru matriculation		no	yes	yes	paper	yes	none
Current Student Academic files off-campus center Sioux City	Julia Rembert	Social Work	current thru matriculation		no	yes	yes	paper	yes	none
Student Alumni Files	Susan Dirks	Social Work	Indefinitely		yes	yes	yes	paper	no	none
Personnel Files										
Adjunct faculty files	Lois Burkett	Social Work	Indefinitely		no	no	no	paper	yes	none
Faculty , P&S & Merit searches	Lois Burkett	Affirm Action	CY + 3		no	yes	yes	paper/PC	no	none
Faculty CV's	Lois Burkett	Social Work	Current version		yes	no	no	paper/PC	yes	none/PC backup
Faculty offer letters and related documentation	Lois Burkett	Provost	3 yrs after leaving University		no	yes	no	paper	yes	none
P&S & merit job descriptions	Lois Burkett	Social Work	CY + 3		yes	no	no	paper/PC	yes	none/PC backup
Performance appraisals for merit and P&S staff	Lois Burkett	Social Work	The two most recent		yes	yes	no	paper	yes	none
Reclassification files	Lois Burkett	Human Resources	CY + 3		no	yes	no	paper/PC	yes	none/PC backup
Staff employment records	Lois Burkett	Social Work	CY + 3		no	yes	no	paper	yes	none

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Staff payroll records	Lois Burkett	Social Work	CY + 3		no	yes	no	paper	yes	none
<u>Financial Files</u>										
Account spreadsheet	Lois Burkett	Social Work	CY + 3		yes	yes	yes	paper/PC	no	none/PC backup
Assistantship & Fellowship Awards	Lois Burkett	Social Work	CY + 3		yes	yes	no	paper/PC	no	none
Departmental allocation letters	Lois Burkett	CLA	CY + 3		no	yes	no	paper/PC	yes	none/PC backup/central file backup
Departmental recurring salary budget files	Lois Burkett	CLA	CY + 3		no	no	yes	paper/PC	yes	none/PC backup
Foundation account summaries	Lois Burkett	UI Foundation	CY + 3		no	yes	no	paper/PC	yes	none/PC backup
General expense budgets	Lois Burkett	CLA	CY + 3		no	no	yes	paper/PC	yes	none/PC backup
Grant budgets & contracts	Lois Burkett	Sponsored Programs	CY + 3		no	no	yes	paper/PC	yes	none/PC backup
Maintenance Agreements	Lois Burkett		CY + 3		no	no	no	paper	yes	none
Payroll Vouchers	Lois Burkett	Accounts	CY + 3		no	yes	yes	paper	yes	none
Procurement Card Documentation	Lois Burkett	Accounts Payable	CY + 3		no	yes	yes	paper	yes	none
Purchase/Service Requests	Lois Burkett	Social Work	CY + 3		yes	no	no	paper	no	none
Requisitions	Lois Burkett	Purchasing	CY + 3		no	yes	yes	paper	yes	none
Special Compenstation Forms	Lois Burkett	Human Resources	CY + 3		no	yes	yes	paper	yes	none
Statement of account	Lois Burkett		CY + 3		no	yes	yes	paper	yes	none
Travel Expense Vouchers	Lois Burkett	Travel	CY + 3		no	no	no	paper/PC	yes	none/PC backup
Visitor and TA requests/allocations	Lois Burkett	CLA	CY + 3		yes	yes	no	paper/PC	no	none/PC backup
Voucher/Invoices	Lois Burkett	Accounts Payable	CY + 3		no	yes	yes	paper	yes	none
<u>Inventory Files</u>										
Equipment inventory	Bev Sweet	FUS	Indefinitely		no	no	no	paper/PC	yes	none
Space inventory	Bev Sweet	FSG	Indefinitely		no	no	no	paper	yes	none
Notes:										
1) The retention period for convenience copies is 3 years which is a guideline and not a requirement.										

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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.										