

General Counsel's Records Retention Schedule

(Contact person: Gay Pelzer: 335-3696)

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)								
Affiliation agreements	Colleges, departments	NA	CY + 3		No	No	No	Paper/PC	College, dept or client	File cabinet
Audit files (Medical, Internal, Bond, exceptions, findings)	General Counsel	State-3 Federal-3	CY + 5		Yes	No	No	Paper/PC	Some yes	File cabinet
Licensing agreements	Colleges, departments	NA	Term + 5		No	No	No	Paper/PC	College, dept or client	File cabinet
Backup documentation for cv's, deposits, purchases, receiving documents, etc.)	General Counsel	CY + 3	CY + 3		Yes	No	No	Paper	No	Locked file room
Bankruptcy	General Counsel	1 yr after discharge	1 yr after discharge		Yes	No	No	Paper/PC	No	File cabinet
Budgets	General Counsel	State-3 Federal-3	CY + 3		Yes	No	No	Paper	Yes-Budget Office	Locked file room
Contracts	Business Manager unless delegated	CY + 10 after contract has expired	1 yr. after termination		No unless delegated	No	No	Paper/PC	Business Manager unless delegated	File cabinet
Debt collection	General Counsel	State-3 Federal-3	3 yrs after determination of closure		Yes	No	No	Paper/PC	No	File cabinet
Individual Personnel Matters (employment contracts, P&T disputes, settlement agreements)	General Counsel	CY + 7 after employee terminates	CY + 7 after employee terminates		Yes	Yes	Yes for settlement agreements	Paper/PC	Some with HR	File cabinet
Litigation of tort claims	General Counsel		5 years past the settlement date		Yes	No	No	Paper/PC	Some with Risk Mngt office	File cabinet
Misc. grievances (labor, student, bidding)	General Counsel	CY + 3	CY + 3 after reconciliation or student no longer enrolled		No	Yes-student	No	Paper/PC	Some with Student Services, UI Personnel Office	File cabinet

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		(CY: Current Yr)								
Non-disclosure agreements	Colleges, departments	Life of the agreement plus 2 years	Life of the agreement plus 2 years		No	No	No	Paper/PC	College, dept or client	File cabinet
All Payroll files (includes Staff Benefits)	Human Resources	NA	CY + 3		No	No	No	Paper	Yes-Payroll	Locked file room
Probate	General Counsel	1 yr. after distribution	1 yr. after distribution		Yes	No	No	Paper/PC	Yes-Court	File cabinet
Procurement Card Information & Reports	Voucher Processing Team	NA	CY + 3		No	No	No	Paper	Yes	Locked file room
Purchase Orders	Purchasing	NA	CY + 3		No	No	No	Paper	Yes	Locked file room
Real Estate files including leases, easements, use & purchase agreements	Colleges, departments	State-3 Federal-3	Permanent		No	No	No	Paper/PC	UI Business Manager	File cabinet
Regulatory (OSHA, Environmental)	General Counsel	CY + 5 Until	Permanent		Yes	No	No	Paper/PC	No	File cabinet
Requisitions to a Dept. (requesting product/service)	Dept. providing product/service	product/service is received	CY + 3		No	No	No	Paper	Yes	Locked file room
Requisitions (thru Purchasing)	Purchasing	NA	CY + 3		No	No	No	Paper	Yes	Locked file room
Research Materials (Intellectual Prop., Copyright, Trademark, IRB)	General Counsel		Permanent		Yes	No	No	Paper/PC	Some with UI Research Foundation	File cabinet
Search Materials (related to filling a vacancy)	General Counsel	CY + 3	CY + 3		Yes	Yes	No	Paper/PC	Affirm Action has some	File cabinet
Service agreements (independent contractors, barbershop, etc.)	General Counsel	State-3 Federal-3	Term + 6		Yes	No	No	Paper/PC	Yes	File cabinet
Statement of Account (SOA)	Accounting Services	NA	CY + 3		No	No	No	Paper	Yes	Locked file room

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		(CY: Current Yr)								
Taxes (sales, etc.)	General Counsel	CY + 3	CY + 5; Pertinent info. kept permanently		Yes	No	No	Paper/PC	Yes	File cabinet
Tort claim	Risk Management	2 yrs. past resolution of tort claim	2 yrs. past resolution of tort claim		No	See Risk Mngt. schedule	No	Paper/PC	Yes	File cabinet
Travel Vouchers	Travel	NA	CY + 3		No	No	No	Paper	Yes	Locked file room
Vouchers & Invoices (before 1/1/98)	A/P	NA	CY + 3		No	No	No	Paper	Yes	Locked file room
Vouchers & Invoices < \$10,000 (after 1/1/98)	General Counsel	State-3 Federal-3	CY + 3		No	No	No	Paper	Yes	Locked file room
Vouchers & Invoices > \$10,000 (after 1/1/98)	A/P	NA	CY + 3		No	No	No	Paper	Yes	Locked file room
Office Correspondence of an Official Nature (Unit policies & procedures, misc information, project files)	General Counsel	State-3 Federal-3	Pertinent info. kept permanently		Yes	Yes	No	Paper/PC	No	File cabinet
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.										