

UI Official Records Retention Schedule

Official records are: (1) records having the legally recognized and judicially enforceable quality of establishing some fact, policy, or institutional position or decision. (2) the single official copy of a document maintained on file by an administrative unit of the University which is usually, but not always, the original. (3) subject to the records retention requirements included in the Records Management Program and Retention Schedule.

* Exceptions must be approved by Records Management Committee. Records that may have historical or enduring value should be reviewed by the University Archivist before destruction.

**Confidential: records with information of various sorts that the University receives and holds confidential unless otherwise ordered by a court, by the lawful custodian of the records or by another person duly authorized to release such information. Examples include: student records, medical records, personnel records, etc.

***Vital: records with information considered essential for the operations of a department (and/or the University) and includes information that may prevent a department from incurring serious liability or risk, or that would be extremely costly to replace. In the event of a disaster, this information, if destroyed, would make it difficult for a department to conduct normal business activities.

02/2016

| Official Record Category | Official Record Title | Official Record Description | Administrative Unit Responsible for Establishing Retention Criteria | UI Retention Guideline (5 Years, 10 Years or Permanent)* | Confidential** (Yes/No) | Vital*** (Yes/No) | Official Files Maintained By (Central Administrative Unit or Local Department) |
|--|------------------------------|--|---|--|-------------------------|-------------------|--|
| Risk Management, Insurance and Loss Prevention | Property insurance policies | Property Insurance files including policy documents, applications, renewals, correspondence, property valuations, etc. | Risk Management | 10 Years | No | Yes | Risk Management |
| Risk Management, Insurance and Loss Prevention | Liability insurance policies | Liability insurance files including policy documents, applications, renewals, correspondence, and working files for various lines of coverage. | Risk Management | 10 Years (end of the tail/covered period +10 Years for claims-made policies) | No | Yes | Risk Management |

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| Risk Management, Insurance and Loss Prevention | Flood insurance policies | Flood insurance files including policy documents, applications, renewals, correspondence, elevation certificates, etc. | Risk Management | 10 Years | No | Yes | Risk Management |
| Risk Management, Insurance and Loss Prevention | UI Liquor License | Original applications, renewals, liquor license dram shop certificates, and correspondence. | Risk Management | 10 years | No | No | Risk Management |
| Risk Management, Insurance and Loss Prevention | Surety and Fidelity Bonds | Surety and Fidelity bonds including Medicare bonds, certificate of title bonds, liquor license, blanket fidelity and employee dishonesty, renewals and correspondence. | Risk Management | 10 Years past expiration date | No | Yes | Risk Management |
| Risk Management, Insurance and Loss Prevention | Certificates of Insurance | Proof of insurance as required by contract: 1) Proof of Self-Insurance and 2) Proof of insurance by 3rd parties. | Risk Management | 10 Years past end of contract | No | No | Risk Management/Purchasing Department - Maintained in centralized contract management system. Departments must send final signed versions to email: uisignedcontracts@uiowa.edu |

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| Risk Management, Insurance and Loss Prevention | Waivers - signed copies | Release of Liability signed by third parties for personal injury or property damage resulting from their participation in activities/events occurring on and off University property. | Risk Management | 5 Years | Yes | Yes | University Department or Student Organization who organized the event |
| Risk Management, Insurance and Loss Prevention | Property Claims | Records of claims for damage to University property covered through commercial insurance and/or self-insurance. | Risk Management | 10 Years (permanent for claims of historical significance) | No | No | Risk Management |
| Risk Management, Insurance and Loss Prevention | Liability Claims | Liability claims filed against the UI, other than tort, where commercial insurance coverage was purchased. | Risk Management | 10 Years | Yes | No | Risk Management |
| Risk Management, Insurance and Loss Prevention | Tort Claims (including Vehicle Tort Claims) | Non-litigated Paid and Denied claims filed against the UI, including investigative material and settlement documents. | Risk Management | 10 Years | Yes | No | Risk Management |
| Risk Management, Insurance and Loss Prevention | Vehicle Accident Files | Records of accidents involving vehicles either owned or operated by a Regents institution. | Risk Management | 10 Years | Yes | No | Risk Management |
| Risk Management, Insurance and Loss Prevention | Incident Files | Records of incidents involving personal injury and property damage to third parties both on and off University property. | Risk Management | 10 Years | Yes | No | Risk Management |
| Risk Management, Insurance and Loss Prevention | Incident Files- injury to minors | Records of incidents involving personal injury to minors both on and off University property. | Risk Management | Age to maturity plus 2 Years (20 yrs.) | Yes | No | Risk Management |

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| Risk Management, Insurance and Loss Prevention | Drug and Alcohol Testing Records | Results of findings of pre-employment, post-accident and random drug and alcohol testing for CDL Holders responsible for driving UI vehicles as part of job duties. | Risk Management and Parking & Transportation | 5 Years after termination | Yes | Yes | Risk Management maintains all Federal Motor Carrier Safety Admin (non-Cambus); Parking & Transportation maintains all Federal Transit Administration (Cambus) |
| Risk Management, Insurance and Loss Prevention | Driver Ineligibility Notices | Email/other notices indicating an employee is ineligible to drive a UI vehicle. | Risk Management | 10 Years | Yes | Yes | Risk Management |
| Risk Management, Insurance and Loss Prevention | Vehicle Self-Insurance Fund | Documents relating to establishment and administration of vehicle self-insurance fund. | Risk Management | Permanent | Yes | Yes | Risk Management |
| Risk Management, Insurance and Loss Prevention | Actuarial Report Regents Motor Vehicle Self Insurance Fund | Actuarial analysis of both Regents and University self insurance funds for the establishment of rates and estimated unpaid liabilities. | Risk Management | 10 Years | Yes | No | Risk Management |