

Department of Physics and Astronomy Retention Schedule

(Contact Person: Aaron Votroubek 335-0134)

DESCRIPTION	CUSTODIAN	Legal	ACTIVE	NON- ACTIVE	Official	CONFID.?	VITAL?	CURRENT RECORD FORMAT	DUPLICATED ELSEWHERE?	SAFEGUARD MEASURES CURRENTLY IN PLACE?
Central Files										
Departmental Central Files	Votroubek	CY+3	permanent		yes/no	yes/no	yes/no	paper/pc/web	yes/no	none/PC backup
Faculty Agenda	Votroubek	N/A	permanent		yes	no	yes	paper/pc/web	no	PC backups/Web
Faculty Minutes	Votroubek	N/A	permanent		yes	no	yes	paper/pc/web	no	PC backups/Web
Departmental Bylaws	Votroubek	N/A	permanent		yes	no	yes	paper/pc/web	no	PC backups/Web
Office Correspondence of an Official Nature	Votroubek	State 3; Fed 3	permanent		yes	yes/no	yes	paper/pc/web	yes/no	PC backups/Web
Strategic plans	Votroubek	N/A	Two most recent		yes	no	yes	paper/PC/web	yes	none/PC backup/web
Affiliation Agreements and Legal Agreements	Votroubek	CY+3	Life of Agreement		yes	yes/no	yes	paper	yes/no	file cabinet
Faculty Files										
Faculty offer letters and related documentation	Votroubek	CY+7	3 yrs after leaving University		yes/no	yes	yes	paper	yes	file cabinet
Probationary reviews	Votroubek	CY+7	Until P&T decision is complete		no	yes	yes	paper	yes	file cabinet
P&T files for current faculty (Dean's letter to Provost, faculty ballots, external evaluators letters, student evaluation summaries)	Votroubek	CY+7 after termination	Indefinitely		yes	yes	yes	paper/PC	no	file cabinet
P&T files for faculty who left the UI	Votroubek	7 yrs after departure			yes	yes	yes	paper/PC	no	file cabinet/PC backup
Peer reviews	Votroubek	CY+7	The two most recent		yes	yes	yes	paper	no	file cabinet
Faculty CV's	Votroubek	current version	Current version		yes	no	yes	paper	yes	file cabinet
Faculty Development Files	Votroubek	CY+7	completion of award		no	yes	yes/no	paper/PC	yes	file cabinet/PC backup
Faculty Miscellaneous Correspondance	Votroubek	CY+7			yes/no	yes/no	yes/no	paper/PC	no	file cabinet
Teaching Assessments (ACE)	Votroubek	CY+7			yes	yes/no	yes	paper	yes	file cabinet

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HR Files - Personnel Files										
Performance appraisals for merit and P&S staff	Stevens	CY+3 after termination	The two most recent		yes	yes	no	paper/PC	no	file cabinet
Immigration documentation	Stevens	CY+3 after termination	Indefinitely		no	yes	no	paper	yes	file cabinet
Adjunct faculty files	Stevens	CY+3	Two most recent appointments		no	no	no	paper	yes	file cabinet
Appeals of merit and P&S reclassification decisions	Stevens		Indefinitely		no	yes	no	paper	yes	file cabinet
Staff payroll records (including PAR's)	Stevens	CY+3	5 years prior to start date of oldest active grant/contract		no	yes	no	paper	yes	file cabinet
Staff employment records & Terminated Staff	Stevens	CY+3	5 years prior to start date of oldest active grant/contract		no	yes	no	paper	yes	file cabinet
Recruitment										
Faculty/Staff search files	Stevens	CY+3	CY + 3		yes	yes/no	yes/no	paper/PC	no	file cabinet/PC backup
DEO searches	Stevens	CY+3	CY + 3		yes	yes/no	yes	paper/PC	no	file cabinet/PC backup
Department Related Files										
Warranty of Equipment/Maintenance	Votroubek	N/A	Life of item, until warranty expiration		yes	no	yes	paper	no	file cabinet
HPO Reports/Environment Issues	Votroubek	N/A	CY + 3		no	no	yes	paper	yes	file cabinet
Key Inventory	Mineart	N/A	Indefinitely		yes	no	yes	paper/PC	no	file cabinet/PC backup
Departmental review files	Votroubek	N/A	2 recent reviews		yes	no	yes	paper/PC	no	file cabinet/PC backup
Visitor and TA requests/allocations	Votroubek	N/A	CY + 3		yes	no	no	paper/PC	no	file cabinet/PC backup
Requests for space	Votroubek	N/A	CY + 3		yes	no	no	paper/PC	no	file cabinet

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			(CY: Current Yr)					FORMAT		CURRENTLY IN PLACE?
Requests for equipment	Votroubek	N/A	CY + 3		yes	no	no	paper/PC	no	file cabinet/e-mail backup
Space inventory	Mineart	N/A	CY + 3		yes	no	no	paper/PC	yes, but not current	file cabinet/PC backup
Equipment inventory	Mineart	N/A	CY + 3		no	no	no	paper	yes	file cabinet
Business Office Files										
Gift, grant, contract files/records	Votroubek	CY+10 years after contract expired	CY + 3		no	no	yes	paper	yes	file cabinet
Zabor Salary Distribution program	Votroubek	5 years prior to start date of oldest active grant/contract	CY + 3		no	yes	yes	pc disc	yes	file cabinet/PC back up
State/Recurring Budgets	Votroubek	State 3; Fed 3	CY + 3		no	no	no	on line/paper	yes	file cabinet
Inventory Assets	Mineart	CY+3	CY + 3		no	no	yes	on line/paper	yes	file cabinet
Procurement Card Reports	Loria	CY+3			no	no	no	pc disc/paper	yes	file cabinet/PC back up
Foundation account summaries	Mineart	State 3; Fed 3	CY + 3		no	yes	no	paper/PC	yes	file cabinet/PC backup
Departmental allocation letters (Report of Funds)	Votroubek	CY+3	CY + 3		no	no	no	paper/PC	yes	PC backup/central file backup
Departmental recurring salary budget files	Votroubek	State 3; Fed 3	CY + 3		no	no	yes	paper/PC	yes	file cabinet/PC backup
Purchase Orders	Loria	N/A	CY + 3		yes	no	yes	paper/PC	yes	file cabinet/PC backup
Requisitions	Loria	N/A	CY + 3		yes	no	yes	paper/PC	yes	file cabinet
Statement of Accounts	Shaevitz	N/A	CY + 3		no	no	yes	paper	yes	file cabinet
Travel Vochure	Loria	N/A	CY + 3		no	no	no	paper	yes	file cabinet
Vouchers and Invoices	Loria	N/A	CY + 3		no	no	yes	paper	yes	file cabinet
Academic Records										

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ACE Forms - TA's	Foreman	CY+7	CY+3		yes	yes	yes	paper	no	file cabinet
Required Academic forms	Foreman	CY+7	CY+3		no	yes	yes	paper	yes	file cabinet
Course Grades	Foreman	Indefinetely	Indefinetely		no	yes	yes	paper	yes	file cabinet
Undergraduate Records/Correspondance	Foreman	CY+5	Until Graduation		no	yes	yes	paper	yes	file cabinet
Graduate Records/Correspondance	Foreman	CY+10	Until Graduation		no	yes	yes	paper	yes	file cabinet
Graduate Dissertations	Foreman	Indefinetely	Indefinetely		yes	no	yes/no	book	yes	Aurora Room
Lab Cards	Spilger		5 years		yes	yes	yes/no	paper	no	file cabinet
Computer										
Computer/Network Files	Allendorf	N/A	Indefinetely		yes	yes/no	yes/no	Server	yes/no	PC backup
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.										