

	POLICY NUMBER: 10
	EFFECTIVE DATE: August 2017
<b>Public Transparency &amp; Response to Records Requests Policy</b>	

**1. Purpose**

This Public Transparency & Response to Records Request Policy sets out the policies of the University of Iowa Center for Advancement (“UICA”) regarding disclosure of certain information within its possession and/or control when requested by a member of the public. Specifically, this policy describes the information that the UICA makes publicly available without request, the information it will disclose upon request as may be required by law, and the information it will not make available to public disclosure.

**2. Scope**

The UICA is committed, in everything it does, to building the trust of donors, prospective donors, and alumni, friends, and fans of the University of Iowa (“constituents”) and the public. There is no question this requires transparency. The UICA is also committed to protecting confidential, personally identifiable, and proprietary information of the UICA and its constituents from unlawful or unreasonable disclosure, misuse, or other harms. Constituents must be fully comfortable that personal confidences, private circumstances, and their personal information shared with the UICA will be professionally and appropriately preserved. The UICA will do all that is reasonable to continue demonstrating transparency while ensuring the protections of certain non-public information from public accessibility, as permitted by law.

**3. Policy**

<b>3.1 Publicly Available Information</b>	
<p>To enhance transparency and demonstrate our commitment to best governance practices, the UICA makes publicly available various types of information on its website (<a href="https://www.foriowa.org/accountability/">https://www.foriowa.org/accountability/</a>). This information includes, but is not limited to, the Annual Report on Giving, annual campaign reports, independent audit reports, Investment Policy Statement, quarterly investment summaries, Privacy Statement, and other forms of legal and governance information (e.g., list of current directors and officers of our board of directors).</p>	
<b>3.2 Information Available Upon Request as Required by Law</b>	
<p><b>Iowa Code (Chapter 22)</b> <b>“Iowa Open Records Law”</b></p>	<p>“Public records,” as defined in Iowa Code, Chapter 22, in the possession of the UICA are subject to the Iowa Open Records Law despite our organization not being a governmental body. Such specified records are available upon proper request unless the law has deemed those records “confidential.” The UICA may charge a reasonable fee prior to disclosure per the Fee Schedule noted in Section 3.4.</p>

<p><b>Iowa Code, (Chapter 22)</b></p> <p><b>“Iowa Open Records Law”</b></p>	<p>Pursuant to Iowa’s Open Records Law, the following information is available for disclosure/inspection when requested from the UICA.</p> <ul style="list-style-type: none"> <li>• Portions of records disclosing the name of the donor (unless anonymity requested) and the amount and date of a specific donation or donations.</li> <li>• Portions of records disclosing any donor-designated use or purpose of the donation(s), and any other donor-imposed restrictions on the use of the donation(s).</li> <li>• A description of any privilege, benefit, employment, program admission, or other special consideration from the University of Iowa provided as an express condition of a pledge or donation by the donor or a member of the donor’s family.</li> <li>• Portions of records relating to the receipt, holding, and disbursement of gifts made to the University of Iowa through the UICA, including but not limited to written fundraising policies and documents evidencing fundraising practices.</li> </ul> <p>If a request involves identifying specific donors and their personal information, the UICA will make a reasonable effort to contact the donor(s) before disclosure whenever possible.</p>
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<p><b>Other Records Disclosed by Law</b></p>	<p>The UICA will also disclose the following information, upon request, as may be required by law:</p> <ul style="list-style-type: none"> <li>• Articles of Incorporation and Amendments filed with the Iowa Secretary of State</li> <li>• Annual federal information returns (Forms 990 and 990-T) filed with the Internal Revenue Service (IRS)</li> <li>• Original application for federal tax-exempt status (Form 1023) filed with the IRS</li> <li>• Biennial Nonprofit Corporation Reports filed with the Iowa Secretary of State</li> </ul>
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**3.3 Information Not Available for Public Release/Inspection**

To respect constituents’ expectation of privacy regarding personal and financial information, comply with legal requirements, and help assure the UICA’s success, the UICA does not publicly or upon request by a member of the public share certain information including, but not necessarily limited to, the following:

- Portions of records that disclose a donor’s or prospective donor’s personal, financial, estate planning or gift planning matters
- Records received from a donor or prospective donor regarding such donor’s prospective gift or pledge
- Records containing information about a donor or a prospective donor in regard to the appropriateness of the solicitation and dollar amount of the gift or pledge
- Portions of records that identify a prospective donor and that provide information on the appropriateness of the solicitation, the form of the gift or dollar amount requested by the solicitor, and the name of the solicitor

- Portions of records disclosing the identity of a donor or a prospective donor, including the specific form of gift or pledge that could identify a donor or prospective donor, directly or indirectly, when such donor has requested anonymity in connection with the gift or pledge (this does not apply to a gift or pledge from a publicly-held business corporation)
- Personal or biographical information of alumni of the University of Iowa (such inquiries should be directed to the University of Iowa)
- Personnel records of employees of the UICA, and other information that might infringe on their reasonable expectation of privacy
- Plans, work product, lists, correspondence, data, and other confidential, restricted, or proprietary information of the UICA not generally known to the public that is useful to the UICA in fulfilling its advancement and fundraising objectives and is either protected under Iowa Code, Chapter 550 (“Uniform Trade Secrets Act”) or, if publicly disclosed, might jeopardize the UICA’s ability to most effectively and successfully fulfill its mission.

### 3.4 Requests for Public Records, Response Time, and Fees

<b>Request Process</b>	The assistant vice president, communication and marketing is assigned to receive all requests from a member of the public seeking disclosure or inspection of information within the possession or control of the UICA. The request may be made to Rebekah Tilley at <a href="mailto:rebekah.tilley@foriowa.org">rebekah.tilley@foriowa.org</a> or by calling 319-467-3491. Records requested must be identified with as much specificity as possible. A general search of UICA files for unspecified documents is not permitted.
<b>Response Time</b>	<p>Requests for public records will be reviewed and processed in a reasonable length of time. The time to locate a public record can vary depending on the specificity of the request, number of potentially responsive documents, the age and location of the documents, and whether the documents are stored electronically.</p> <p>Following a request for a public record information, the UICA will contact the requestor within one to three business days to confirm receipt of the request and provide a probable timeline for additional response and/or records release. The UICA will make additional contact in the event of a potential delay to discuss possible ways to process the request in a timely manner.</p> <p>If it is determined that records/information requested are not subject to public disclosure or inspection, the UICA will notify the requestor in writing (email is sufficient) and state the reason for such denial.</p>
<b>Fee Schedule</b>	<p>A reasonable fee for expenses associated with retrieving, copying, and supervising the examination of public records may be charged.</p> <p>The fees are as follows:</p> <ul style="list-style-type: none"> <li>• \$30/hour for actual time spent retrieving and copying documents and/or for supervising the examination of public records. There is no charge if the time spent on those tasks is less than one hour. Staff time includes (1) time spent retrieving potentially responsive</li> </ul>

	<p>documents, (2) reviewing documents for responsiveness, confidential or other information exempt from disclosure; and (3) redaction.</p> <ul style="list-style-type: none"> <li>• Photocopies will be provided at no charge for the first twenty pages. A 25 cents per page charge will be assessed for each page in excess of twenty pages. The charge for scanning into an electronic format rather than hard copies will be at the same rate.</li> <li>• There is a minimum charge of \$75 for records that must be extracted from computer databases. For requests that take more than one hour, the fee is \$75/hour.</li> <li>• Fees for mailing will be assessed based on actual cost.</li> </ul> <p>The UICA will provide the requestor with an estimate of the costs. Advance payment of the estimated fees is required before beginning the retrieval of documents that may respond to the request. The UICA retains the right to waive these fees in particular circumstances.</p>
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**4. Enforcement**

The assistant vice president, communication and marketing is assigned to receive and respond to all requests from a member of the public or media seeking disclosure/inspection of information within the possession or control of the UICA. It is the responsibility of all employees to abide by this policy. The UICA reserves the right to audit all UICA records to monitor compliance with this policy. Employees are encouraged to report any concerns related to this policy to Talent Management. Good faith disclosures are protected by UICA’s workplace expectations of zero-retaliation as described in the Employee Handbook. Violations of this policy may result in disciplinary action up to termination of employment.

**5. Related/Reference Information**

Resource	Link/Location
Iowa Code, Chapter 22	<a href="https://www.legis.iowa.gov">https://www.legis.iowa.gov</a>
Privacy Statement	<a href="https://www.foriowa.org/about/privacy/">https://www.foriowa.org/about/privacy/</a>
UICA Policies	The Daily Advance/Governance Center/UICA Policies

**6. Policy Review History**

This policy is reviewed annually by the assistant vice president, Communication and Marketing.

Reviewed/Revised Dates:	
Legal Department	December 2020
Communication and Marketing Department	September 2024