



**RECORDS RETENTION PROGRAM
OFFICE OF GENERAL COUNSEL
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RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

General Policy

INTRODUCTION

In compliance with the *Ohio Revised Code, Section 149.33*, Cleveland State University, by the authority of its Board of Trustees, has established a records retention program to ensure the proper scheduling, storage and disposal of university records. The program is under the jurisdiction of the Office of General Counsel, and based on “Records Retention for Public Colleges and Universities in Ohio: A Manual, developed in cooperation with the Inter-University Council of Ohio, Ohio Technical and Community College Association and Information Requirements Clearinghouse.

WHAT THE PROGRAM DOES:

The records retention program determines the period of time for retaining records and controls the ultimate disposition of records at the appropriate time.

WHY:

The university is prohibited from removing, destroying, mutilating, transferring or otherwise damaging or disposing of, in whole or in part, any records except in accordance with a records retention program established by the university (*Ohio Revised Code 149.351.*)

- The *Ohio Revised Code* places responsibility on each individual university/college in Ohio for creating and administering its own records retention program.
- To provide for legal disposal of non-current records through proper documentation and approval.
- To properly manage non-current records in a uniform and consistent manner campus wide.

BENEFITS OF THE PROGRAM:

Cost Savings

Space Savings will result from freeing valuable office space from the storage of records that have exceeded their retention periods by destroying or if designated, transferring to the university archives.

Staff savings will result from relieving staff of the time wasting burden of managing valueless records.

Equipment savings will result from freeing up filing equipment by removing records that can be destroyed or if designated, transferred to archives.



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(General Policy)

Improved Access To Valuable Information

Regularly destroying valueless records will make it easier to retrieve current information.

Consistency of records destruction will occur. The program provides for the systematic destruction of records in accordance with university policy and ensures that records are not prematurely destroyed.

The program creates an awareness of documents with permanent archival value.

The program will ensure that the university complies with laws governing university records.

The program provides for protection during litigation, government investigation or audit. It ensures that designated records exist and that other designated records do not exit.

Involvement

All departments/offices/programs that create and/or maintain records and receive funding from the University is involved. All staff/faculty are to familiarize themselves and abide by the records retention policy.

Definition Of A Record

A record is any document, devise, or item, regardless of physical form or characteristics, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, function, policies, decisions, procedures, operations, or other activities of the office (ORC 149.011 (G.))

What To Do

Provide cooperation, consistency and patience.

The department chair/supervisor will designate one person to be responsible for the records retention process in their area and act as record liaison to the university records retention manager. This is normally the person who has day to day responsibility for the records in your area.

This person will at least annually review the records retention schedule and inform the university records retention manager of needed updates based on changes that may have occurred within the area;



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(General Policy)

Incorporate record retention procedures into daily records maintenance and organization;

Coordinate the records retention process for your department/office;

Disseminate information and updates concerning records retention with staff in your area, including faculty;

Review records on an annual basis and purge files based on the appropriate records retention schedule;

Obtaining approval to destroy identified records by completing the certificate of records destruction and obtaining all appropriate signatures **PRIOR TO DESTROYING** records;

Maintain documentation of retention activities for your department/office to demonstrate compliance with the program;

Alert the University Records Retention Manager when leaving your position;

In the case of newly formed areas, work with the records retention manager to identify records maintained by the area and complete record inventory forms.

Functions Of The University Records Retention Manager

Implementation, coordination and maintenance of the university records retention program.

Works with departments/offices record liaisons to provided needed training on procedures, answer questions and provide assistance, if necessary.

Monitor record retention schedules, identify, update and approve retention schedules. Notification to departments/offices of changes made in retention period of records.

Approval, maintenance and monitoring of certificates of record destruction.

Monitor proper destruction through documentation on certificates of records destruction. Makes recommendations concerning destruction of records.

Develop, update and maintain the university's records retention manual. Provide statistical evidence of record retention activities through the certificate of records destruction log.



**RECORDS RETENTION PROGRAM
OFFICE OF GENERAL COUNSEL**

CONTACT INFORMATION:

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**FOR TRANSFER TO ARCHIVES:
(Boxes Provided, Index of Records Required)
William Becker, Archivist
University Library – Archives
Rhodes Tower 3rd Floor
2121 Euclid Avenue
Cleveland, Ohio 44115
Tel: (216)687-3529
Fax: (216) 687-2318
W.Becker@csuohio.edu**



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EMAIL RETENTION POLICY

SCOPE

These guidelines apply to all employees of Cleveland State University (faculty and staff.)

PURPOSE

- To provide guidelines for the retention of e-mail messages to comply with the university's records retention program.
- To limit the liability of the university employees and the University for deleting records that should not be deleted.
- To give employees the authority to delete files in accordance with appropriate approved record retention schedules.

OWNERSHIP

Email messages are the property of the university, not its employees or vendors.

DEFINITIONS

Records – Includes any document, device, or item, regardless of physical form or characteristic, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organizations, functions, policies, decisions, procedures, operations or other activities of the office (*Ohio Revised Code 149.011(G.)*)

Public Record – Any record that is kept by any public office, including, but not limited to, state, county, city, village, township and school district units, except that “Public Record” does not mean any of the following: medical records including counseling records, probation and parole proceedings, adoption proceedings, confidential law enforcement investigatory reports, intellectual property records, such as research conducted by faculty, donor profile records, or all records about donors or potential donors to the university, records subject to attorney/client privilege, student educational records as defined by the Family Educational Rights & Privacy Act of 1974, as amended. (*Ohio Revised Code 149.43.*)

Email Messages – Electronic documents created and sent or received by a computer system. This definition applies equally to the contents of the communication, the transactional information, and any attachments associated with such communication. Thus, email messages are similar to other forms of communicated messages, such as correspondence, memoranda, and circular letters. (*Managing Electronic Mail Guidelines – ERC Web Site*)



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Email Retention Policy

RETENTION

Email itself is not considered a record series or category. It is a means of transmission. Retention and disposition of email messages must be related to the information they contain or the purpose they serve. **Email messages are to be categorized and retained according to each appropriate university department's, division's or area's approved record retention schedules and based on the subject or the purpose of the email message. Messages that are to be retained longer than thirty (30) days are to be printed and filed with the appropriate paper records. Once printed, the email may be deleted.**

As with any format, an email message is considered a public record (if it meets the definition of the *ORC* for a record – refer to **Definitions**.) These records must be maintained and made accessible to the public upon request through the appropriate retention period. The content and any attachments associated with the message are considered a record if it meets the definition of a record per the *ORC*. Backing up your email or purging all messages after a set amount of time is not appropriate for managing email.

When an employee leaves a position, computer files, including email may not be automatically deleted. Deleting in such instances must follow applicable record retention schedules.

EMAIL GROUPS

There are (4) four categories of email retention: **1. Non-record materials** (personal emails), **2. Transient emails** (temporary emails), **3. Record Emails** (those categorized into the retention schedule), and **4. Permanent emails** (also categorized into the retention schedule.)

It is suggested that folders are set up to help categorize your emails. For example, the following folders may be set up:

1. Non-Record Emails – Includes personal e-mails that **do not** document the organization, procedures, operations and other activities of the office. This would include unsolicited promotional materials, most listserv documents, personal correspondence, non-state publications – materials that are publicly available to anyone, files copied or downloaded from internet sites, etc. These materials may be retained at the discretion of the sender and receiver. However, it is suggested that these emails be deleted immediately or maintained in a “Non-Record” folder and deleted later.



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Email Retention Policy

2. Transient (Temporary) Records

Transient Documents include telephone messages, drafts and other limited document that serve to convey information of temporary importance in lieu of oral communication. These items would fit into the Miscellaneous – Convenience Copies series on your retention schedule. Retain these items until no longer of administrative value, then delete.

3. Record Email – Includes all other email whether considered a public record or not. These messages that have significant value (administrative, legal and/or fiscal value.) These emails are to be categorized under the appropriate records series of your records retention schedule and retained as required

After brief periods in your **IN-SENT** email boxes, messages should be transferred to folders to facilitate categorizing for your retention schedule.

4. Permanent Email – Are also governed by your records retention schedule. They may be maintained several ways:

OFF LINE STORAGE – Printing your emails and filing.

ON LINE STORAGE – Please be aware that email on the CSU email system is kept forever, unless it is deleted. Deleted emails can only be recovered for 30 days. After this time period, they can not be recovered.

If you access your email through a different email client (Outlook, Eudora, etc), is recommended that you opt to let your email reside on the CSU server. If you do not, then it is beyond the University's ability to recover it.

In the case of a “**LITIGATION HOLD**” issued by the General Counsel Department, you are to immediately stop deleting all emails except non-record emails (personal and temporary messages.) You are to be notified of litigation holds by the Dean/Manager/Director/chair of your area.



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DEFINITIONS:

ACTIVE RECORD - A record that is regularly referenced or required for current use.

ADMINISTRATIVE VALUE – A record has administrative value if it is used by the university to carry out its duties. Administrative value is based on how often and for how long the record is used by office personnel, and whether a program would be jeopardized upon disposal of the record.

ARCHIVES – Internal departmental or university archive storage where records with historical value are stored.

CONFIDENTIAL RECORD - A record where disclosure of information is limited or prohibited. Usually records that contain identifying information: e.g. names, social security numbers, account information, medical information

DISPOSITION - The final action recommended for a record series on the retention schedule, (e.g., destroy, archives.)

DUPLICATE - A facsimile or replica "produced by the same impression as the original or from the same matrix as the original by means of photography, including enlargements and miniatures, or by mechanical or electronic re-recording, chemical reproduction, or other equivalent techniques, which accurately reproduces the original." (Uniform Rules of Evidence)

FISCAL VALUE – A record has fiscal value if it pertains to the receipt, transfer, payment, adjustment, or encumbrance of funds, or if it is required for an audit.

HISTORICAL RECORD - A record that provides evidence for a fact of history; showing the development or evolution in proper chronological order.

HISTORICAL VALUE – A record has historical value if it documents the university's organization, policies, decisions, procedures, operations, or other activities, or if it contains significant information about people, places, or events.



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

(Definitions Continued)

INACTIVE RECORD - Records still needed by an organization, but not for current operations.

INDEFINITE - A term used in records retention schedules to indicate the retention period for certain records that cannot be determined in advance and these records must be reviewed periodically to determine whether they can be destroyed.

LEGAL VALUE – A record has legal value if it documents or protects the rights or obligation of citizens or of the agency that created it.

LITIGATION- A proceeding in a court of law to enforce a right. Same as a lawsuit.

LITIGATION HOLD – the suspension of record destruction when the University has knowledge of a potential claim, lawsuit, government investigation, subpoena, summons or other ongoing matter. A litigation hold is issued by the office of general counsel to the appropriate deans, directors, and/or managers. These officials are responsible for notifying all personnel in their area who may be custodians of records. Any university official who receives notice of a litigation hold must promptly acknowledge receipt of the litigation hold to the office of general counsel and ensure that the subject records are retained until the office of university general counsel provides notice that the litigation hold has been released. A litigation hold shall apply to all relevant records, regardless of the format in which they are retained (e.g., paper, electronic).

ORIGINAL - The "writing or recording itself or any counterpart intended to have the same effect by a person executing or issuing it. If data are stored in a computer or similar device, any printout or other output readable by sight, shown to reflect the data accurately is an original." (Uniform Rules of Evidence.)

PERMANENT - The continued preservation of information or other matter forever, without any limit in time. A term sometimes used in laws to mean durable rather than forever. The records may not be archival but still need to be maintained.

RECORD - A record is any document, devise, or item, regardless of physical form or characteristics, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, function, policies, decisions, procedures, operations, or other activities of the office (**Ohio Revised Code 149.011 (G.)**)

RECORD SERIES - A group of similar or related records used or filed as a unit.

RECORDS DESTRUCTION - The process of totally obliterating information on records by any method to make the information unreadable or unusable under any circumstances.



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(Definitions Continued)

RECORDS RETENTION PERIOD - The period of time during which records must be maintained by the University because they are needed for operational, legal, fiscal, historical or other purposes. Records should be reviewed for destruction or archive transfer after the expiration of the retention period.

RECORDS RETENTION PROGRAM- Policies and procedures that determine the period of time for retaining records and controls the ultimate disposition of records at the appropriate time.

RECORDS RETENTION SCHEDULE - A document prepared as part of a records retention program that lists the period of time for retaining records.

SUBJECT FILE - Sometimes known as the central file, general file or general correspondence file; consists of letters, memos, enclosures, reports, informational files and miscellaneous materials arranged by subject.

VITAL RECORD - Records that contain information needed to establish or continue the University in the event of a disaster; those necessary to recreate the University's legal and financial position, those necessary to preserve the rights of the University, its employees and students.

RECORD RETENTION SCHEDULE MEDIUM CODE KEY:

P = PAPER

E=ELECTRONIC RECORDS

TYPES: A = AUDIO TAPE
CD = COMPACT DISK
D = DISK, DISKETTE, FLOPPY
DB = DATABASE
HD = HARD DRIVE
M = MICROFILM
MF = MICROFICHE
MT = MAGNETIC TAPE
PS = PEOPLESOFT
V = VIDEOTAPE



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

Department/Office Guidelines

Each department/office is required to have an approved record's retention schedule and to establish routine record retention procedures. If your area does not have an approved records retention schedule, or you are not aware of it, contact the university's records retention manager.

These procedures consist of:

- assigning and maintaining a records liaison for the area
- regular review of the retention schedule for necessary revisions
- regular purging of files exceeding their retention periods
- obtaining approval for destruction from the appropriate manager/chair and the university record retention manager
- proper destruction
- maintaining proper documents for audits
- maintaining proper documents that have historical value
- informing new employees of the retention procedures for your area and supplying a copy of the records retention schedule (notification of online location)

The above items should be a routine part of daily record keeping duties. Many areas reserve semester breaks and summer semester to purge files. However, this function should be performed when most convenient to the area. Regardless of when it is done, it must be done routinely.

The following is a general guide:

1. Make sure the university records retention manager has a contact name (record liaison) for your area.
2. Incorporate record retention procedures into your daily records maintenance and organization.
3. Coordinate the records retention process for your department.
4. Disseminating information and updates concerning records retention to staff in your department, including faculty.
5. Routinely reviewing and purge files according to your records retention schedule at least yearly.
6. Completing the "certificate of records destruction" when necessary and obtaining all appropriate approval signatures **before destruction takes place.**
7. Maintain documentation of retention activities for your department to demonstrate compliance with the program.



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Department/Office Guidelines Continued:

8. Coordinating proper destruction of records.
9. Separate purged files into:
 - **confidential** (records to be shredded)
 - **non confidential**(records to be recycled)
 - **archival records** (records to be transferred to the university archives)
10. Alert the University Records Retention Manager if you leave your position.
11. Complete a “**Transfer to Archives**” form for records requested to be transferred to archives along with an index of the records, see page 24. Retain a copy of the index for your files. Contact the Library University Archives for further instructions.
12. Obtain both the manager/chairperson signature and the university record retention manager's signature on the certificate of records destruction. **Records are not to be destroyed until all signatures are obtained.**
13. Wait until you have received back the certificate of destruction with the signature of the university records retention manager **before** destruction.
14. Arrange for the destruction of the records. This can be done internally or through an outside vendor. Non confidential records may be disposed of in the recycle bins. Records containing confidential information, such as social security numbers, homes addresses, and other personal privacy information must receive special care. Confidential information must be shredded, pulped or incinerated. This may be done internally or by an outside company. When using an outside company, obtain a “certificate of confidentiality” from the company to ensure your information remains confidential while in their possession. Be aware that most outside companies charge for destruction services, therefore **the company used is a departmental decision. Please destroy records within 2 months of approval. It is the department’s responsibility to ensure their confidential records are disposed of properly.** It is not recommended to dispose of confidential records through physical plant. However, if a decision is made to do so, confidential records must be picked up in lockable bins. The department must ensure the bins are locked before they leave the area.
15. After destruction, complete and sign the bottom portion of the "certificate of destruction," and forward a copy to the university record retention manager. Retain a copy for the department/office files.
16. Many departments/offices centralize this process, requiring staff to coordinate their approval and destruction through the department's record liaison. Departments/offices are required to maintain their records for the full retention period identified on their schedules.



Certificate of Records Destruction

DIVISION/COLLEGE: _____

OFFICE/DEPARTMENT: _____

PERSON COMPLETING FORM: _____

(Please Print)

MANAGER/CHAIRPERSON: _____ DATE _____

(Approval Signature)

(Obtain prior to forwarding to Retention Manager)

UNIVERSITY'S

RECORDS RETENTION MANAGER:

DATE _____

(Approval Signature)

Record Series Title (As listed on your retention schedule) Name of Documents	IUC Retention Group#	Medium Code (paper, electronic)	Volume (see volume guides)	Date of Series	
				From: Mo/Yr	To: Mo/Yr

Page _____ of _____

***Complete this portion after destruction takes place and forward copy to retention manager**

Method of Destruction: _____ Date of Destruction: _____

I certify that the above listed records were destroyed on the date listed above and by the method listed above.

Signature of Designee _____

Department/Office maintain copy, copy or original to university records retention manager. Form may be faxed.



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CERTIFICATE OF RECORDS DESTRUCTION

Instructions

The Certificate of Records Destruction is the University's official documentation that specified records were destroyed on a certain date, in a particular manner and in the normal course of business. It also documents that proper approvals were received prior to the destruction of records.

Review your records retention schedule routinely to identify records that have exceeded their retention periods. Complete the Certificate of Records Destruction only with those records whose disposition is listed as "Destroy." Obtain the department chair/manager/director signature. Forward the certificate to the Records Retention Manager for approval before records destruction.

Complete the following sections of the certificate of destruction:

Division/College - the area your office/department is under. (e.g., College of Law, Business Affairs and Finance)

Office/Department - Name of your department or office, e.g. Accounts Payable, Art Department)

Person completing form - generally the department's records liaison or designee

Approval Signature - signature of the appropriate chairperson/supervisor/director, etc. and the date.

Approval Signature Records Retention Manager - Signature of University's Records Retention Manager and the date – location General Counsel Office.

Record Series Title - name of the records series as listed on your records retention schedule.

Retention Number - list the retention group number as listed on your records retention schedule.

Medium Code – whether the format of the items are (P) **paper** or (E) **electronic**.

Volume - give an estimate of the volume of records to be destroyed. Refer to *Guidelines to Assessing Volume of Records* or *Guide to estimate feet occupied by magnetic media*.



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(Certificate of Records Destruction Instructions Continued)

Date of Series - List beginning and ending dates for the records to be destroyed using month and year, e.g., 7/2000 - 6/2002.

THE BOTTOM PORTION OF THE FORM IS TO BE COMPLETED AFTER DESTRUCTION TAKES PLACE. AND A COPY FORWARDED TO THE UNIVERSITY RECORDS RETENTION MANAGER

Method of destruction – Recycling (Consider this method only when confidentiality is not a risk), Shredding/Incinerating/Pulverizing (Use these methods when confidentiality is a risk),

Date of destruction - list actual date of destruction.

Certification - signature of designee certifying that the records were destroyed on the date listed and in the manner indicated.

NOTE: The university records retention manager must review and approve the records destruction certificate before the destruction of records can take place. If there are problems with the request, the records retention manager will contact the records liaison. Destruction of records may begin only after the certificate has been signed by the university's records retention manager. The record liaison or designee should sign the certificate certifying destruction has taken place after the completion of the destruction process and return a signed copy of the certificate to the university records retention manager. Certificates may be faxed to the university records retention manager. Confidential records are to receive special care and destroyed in the appropriate manner.



RECORDS RETENTION PROGRAM
Cleveland State University Archives
Certificate of Records Transfer

DIVISION/COLLEGE:

OFFICE/DEPARTMENT:

PERSON COMPLETING FORM:

(Please Print)

DEPARTMENT MANAGER/CHAIR/:

DATE

SUPERVISOR

(Approval Signature - Obtain prior to transferring records to Archives)

UNIVERSITY ARCHIVIST:

DATE

(Approval Signature)

Attach Record Index

Record Series Title	Retention Group# (IUC)	Medium Code	Volume	Date of Series From: Mo/Yr	To: Mo/Yr

More than one series can be listed on a page

Date of Transfer: _____

I certify that the above listed records were transferred to the Archives on the date listed above. Signature of Designee _____

(Record Liaison)

Attach File Index

Complete and forward to university archives (RT 319) to obtain boxes. Forward Complete Copy to: archivist, university records retention manager, your file. Archive is located in the Michael Schwartz Library 3rd floor.

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RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

GUIDE TO ASSESSING VOLUME OF RECORDS

FILE CABINET DRAWERS AND STORAGE BOXES

Use to complete volume column on Certificate of Destruction and Transfer to Archive Forms

SIZE	CUBIT FEET	APPROXIMATE NUMBER OF DOCUMENTS
-------------	-------------------	--

1 letter size file drawer	1.5	4,500
2 letter size file drawers	3	9,000
3 letter size file drawers	4.5	13,500
4 letter size file drawers	6	18,000
5 letter size file drawers	7.5	22,500
1 legal size file drawer	2	6,000
2 legal size file drawers	4	12,000
3 legal size file drawers	6	18,000
4 legal size file drawers	8	24,000
5 legal size file drawers	10	30,000
1 letter size box (12x10x15)	1	3,000

NOTE: 12X10X15 = LETTER SIZE STORAGE BOX

2 of these boxes will hold the contents of 1 legal sized file drawer

3 of these boxes will hold the contents of 2 letter sized file drawers



Cleveland State University

RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

SHREDDING/RECYCLING COMPANIES

These are **not recommendations**, but a listing of companies that have been used by various departments/offices within the university.

It is the department/office responsibility to decide whether to use an outside company or not and which company is used. Some departments/offices chose to handle this process in house. Please thoroughly check out any company being considered for use. Make sure they offer a certificate of confidentiality, which guarantees that your information will remain confidential while in their possession. E.g. – An acceptable statement on the company's certificate of records destruction or invoice should be: (Company Name) hereby certifies that all materials received for confidential destruction was confidentially handled throughout the process, being completely destroyed beyond recognition and recycled.

Physical Plant may be contacted to pick up items that are going to be recycled. **It is not recommended that confidential information be disposed of in this fashion. The departments' that own the records are accountable for the safe destruction of confidential information.**

Company

Shredding Network
29325 Clayton Avenue
Wickliffe, Ohio 44092
440-944-8819
Contact: Mike Conway

Used By:

Human Resources
Plant Services
General Counsel

Iron Mountain

440-248-0999
ABC Mobil Shredding, Inc.
1662 E. 361st Street
Willowick, Ohio 44095
440-943-1995

Financial Aid

Enrollment Services
Undergraduate Studies

All Ohio Secure Shred

14250 S. Industrial Avenue, Suite 106
Maple Heights, Ohio 44137
216-332-9850

Student Life

Gateway Recycling Products

4133 East 49th Street
Cuyahoga Hts., Ohio
216-341-8777

Physical Plant

Admissions



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CONFIDENTIAL RECORDS:

Records as listed below in the Ohio Sunshine Laws will be considered confidential.

Please refer to the Ohio Sunshine Law Update, Chapter III -“Exceptions to the Required Release of Public Records” page 25.

www.ohioattorneygeneral.gov/files/Publications/Publications-for-Legal/Sunshine-Laws/Sunshine-Laws-Manual.aspx

Click on 2010 Sunshine Laws Manual

Appropriate safeguards are to be taken against unauthorized or accidental disclosure of confidential records. Reasonable care should be taken in the disposal of confidential information, including its protection during storage, transportation, handling and destruction. It is the department’s responsibility to ensure that their records remain confidential throughout the destruction process.



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ELECTRONIC RECORDS:

Electronic records are records that contain machine readable, as opposed to human readable information. Information is electronically encoded for storage and processing by computers, video devices, audio equipment, or other machines.

The Ohio Revised Code (ORC) includes no specific definition for electronic records; however *Ohio Revised Code Section 149.011(G)* provides the following definition:

“Records” includes any document, device, or item regardless of physical form or characteristic, created or received by or coming under the jurisdiction of any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.

The State of Ohio Electronic Records Committee has established guidelines for state agencies concerning electronic records. Visit the site at www.ohiohistory.org/ohiojunction/erc, click on Ohio Electronic Records Guidelines.

These guidelines enable state agency employees to comply in their use of email with Ohio public records law, and establish guidelines that promote the effective capture, management and retention of electronic messages as public records.

It is each department/office responsibility to inform the university records retention manager of records that are maintained in electronic form. These records are identified on the record retention schedules in the medium code column with an “E.” Many records are maintained in both paper and electronic form.

A certificate of records destruction is required for both paper and electronic records.



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

Electronic Records

Permanent Storage

A number of dispositions for records are listed as permanent. The electronic form of these records **must be recopied or migrated onto new media at predetermined intervals (as reflected in the records retention schedule) in order to extend their lives for the designated term.** **These records must also be organized for effective retrieval.** In that media outlives hardware, this would involve archiving systems, spare parts and technical manuals. It is more practical to transcribe the information to the next generation hardware and media.

Media Life Expectancies

(life expectancies are based on the following factors)

The quality with which the media was manufactured

The number of times the media is accessed

The care with which the media is handled

The storage temperature and humidity

The cleanliness of the storage environment

The quality of the device used to write to or read from the media

CD	5-100 years
Newspaper	10-20 years
Data Grade VHS Videotape	10-30 years
Digital Linear Tape	10-30 years
Other Magnetic Tape	10-30 years
Microfilm	10-500 years
Photographic Slides	100 years
Archival Grade Acid Free Paper	100-500 years

Reference – Digital Media Life Expectancy and Care

<http://www.caps-project.org/cache/DigitalMediaLifeExpectancyAndCare.html>



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Electronic Record Types

Magnetic Media Types and Formats

Media Type	Recording Material	Storage Capacity	Information Management Applications
Fixed Hard Disk	Gamma ferric oxide, metallic thin film	Multigigabytes	Online access to frequently referenced information
Hard Disk Cartridges	Gamma ferric oxide, metallic thin film	1GB+	Online access to frequently referenced information; data archiving and backup
Floppy Disks	Gamma ferric oxide, cobalt-modified iron oxide, barium ferrite	1.44 to 120MB+	Data and software distribution; data archiving and backup
9-Track Magnetic Tape	Gamma ferric oxide	40 - 180MB	Data archiving and backup; data and software distribution
34XX Data Cartridges	Chromium dioxide	200MB to 2.4GB	Data archiving, backup, and distribution
3590 Data Cartridges	Metal particle	10 to 30GB	Data archiving, backup, and distribution
Digital Linear Tape (DLT)	Metal particle	35GB+	Data archiving, backup, and distribution
Quarter-Inch Cartridges (QIC)	Gamma ferric oxide, cobalt-modified iron oxide	40MB to multigigabytes	Data archiving, backup, and distribution
VHS-Format Video Cassettes	Cobalt-modified iron oxide	Up to 8 hours of video; multigigabytes of data	Video recording, data backup and archiving
8mm Cartridges	Metal particle, evaporated metal	Up to 1 hour of video; 20GB+ of data	Video recording, data backup and archiving
Digital Audio Tape (DAT)	Metal particle	12GB+ of data; up to 2 hours of audio	Data backup and archiving, audio recording

(From "Managing Electronic Records," William Saffady, 2nd Ed)



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

Electronic Records

Examples of electronic record types and Guide to Estimate Feet Occupied By Magnetic Media

(Use When Completing Certificate of Records Destruction and list in "Volume" column.) Quantity estimates, measured in linear feet occupied by removable magnetic or optical media, provide useful information about the amount of physical storage space required by a given electronic records series.

The approximate number of linear feet occupied by commonly encountered types of media can be calculated from the following measurements:

Nine-track magnetic tape reels	one linear inch per reel, 12 reels per linear foot
Half-inch magnetic tape cartridges	one linear inch per cartridge, 12 cartridges per linear foot
QIC magnetic tape cartridges (Quarter-Inch Cartridges)	1.5 linear inches per QIC data cartridge, eight cartridges per linear foot; one linear inch per QIC minicartridge, 12 cartridges per linear foot
Eight-millimeter data cartridges	0.75 linear inch per cartridge, 16 cartridges per linear foot
Digital audio tape (DAT) cartridges	0.5 linear inch per cartridge, 24 cartridges per linear foot
3.5 inch diskettes	0.14 linear inch per diskette, 85 diskettes per linear foot
Audio tape cassettes	0.75 linear inch per boxed cassette, 16 cassettes per linear foot
Video cassettes	one linear inch per unboxed cassette, 12 cassettes per linear foot; 1.25 linear inches per cassette in a plastic box, 9 cassettes per linear foot
5.25 inch optical disk cartridges	0.75 linear inches per cartridge, 16 cartridges per linear foot
12 - and 14 - inch optical disk cartridges	one to 1.25 linear inches per cartridge, 9 to 12 cartridges per linear foot
Compact disks	0.5 linear inch per compact disk in plastic box, 24 compact disks per linear foot

(From "Managing electronic Records," William Saffady, 2nd Ed)



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Frequently Asked Questions

Question: Is there a central place where inactive records can be stored?

Answer: No. We do not have an area of this type. Each department/office is responsible for storage of their records.

Question: Why can't I send my inactive records to the university archives for storage?

Answer: The archives are not a general storage area for inactive records. Records transferred to the archives have established "historical value." Many of these records are identified on your records retention schedule. Approval is required by the Archivist. Contact the Library Archivist for more information.

Question: If we do not want to transfer records to the university archives, may we keep them?

Answer: Yes. Departments/offices may establish internal archives.

Question: May we use outside vendors to destroy records?

Answer: Yes, however, many departments handle the destruction themselves. This can be a labor intensive project. An outside vendor may be used, but the department will have to pay for these services. Therefore, the choice of using an outside vendor is a departmental decision. Refer to the listing of vendors on page 19.

Question: Do I need to complete a certificate of destruction before I destroy duplicates? *Answer:* No. However, it is the responsibility of the record liaison to ensure it is a duplicate. As a safety precaution a certificate may be completed, this way you will always have documentation of what has been destroyed. Indicate on the certificate of records destruction "duplicates."

Question: Do I need to complete a certificate of records destruction for electronic records? *Answer:* Yes. Electronic records are documented in a fashion similar to hard copy using your records retention schedule.

Question: Can I toss records when I feel like it or because of lack of storage because I know other areas maintain the records? *Answer:* No. All records are to be maintained according to your records retention schedule. This is because we do not yet have an official listing of who is required to maintain particular records as a reference. As a safety precaution, all areas are to abide by their retention schedules.



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

(Frequently Asked Questions Continued)

Question: What happens to the records of faculty and staff separating from the university?

Answer: Personal records are handled at the discretion of the faculty or staff person they belong to. Records created for the university should be left with the college/department main office. However, records should be reviewed, purged and destroyed before the person leaves, if appropriate. Prior to separation the faculty/staff shall work with the department record liaison to determine the disposition of the records in accordance to the records retention schedule.

Question: When is a record no longer considered active? *Answer:* Indicated on your records retention schedule.

Question: How do I measure the volume of my records?

Answer: Refer to the references, *Guide to Assessing Volume of Records* or *Guide to Estimate Feet Occupied by Magnetic Media*. The volume is an estimate.

Question: Do I need to contact the university records retention manager concerning records I want to archive?

Answer: No. Contact the university library archivist. Forward a copy of the “Transfer to Archives” form to the university records retention manager after transfer.

Question: When are email messages records?

Answer: You should treat email messages the same way you treat paper correspondence. Emails are records if they document the organization, functions, policies, decisions, procedures, operations or other activities.

Question: Do I have to manage incoming and outgoing emails as records?

Answer: Yes. Both sender and recipient have the responsibility of categorizing their emails in appropriate folders and abiding by their records retention schedule. (Refer to the Email Retention Policy on page 6.

Question: How can email be an official record if it is not signed?

Answer: A signature does not make something a record. Many types of records, such as manuals, reports, photographs and maps, do not contain signatures, but they can still be records.



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

(Frequently Asked Questions Continued)

Question: If an email record is sent to several recipients, which copy is the official record?

Answer: It depends. Different copies of the same message may be records. If you take any official action related to a message, and if the message is needed for adequate and complete documentation of the action, the message would be a record in your office, regardless of whether copies are retained elsewhere.

Question: Are there special requirements for retaining email messages as records?

Answer: The basic requirements that apply to all records apply to email records as well. However, you should make sure that records made or received through email:

1. includes transmission data that identifies the sender and the recipient(s) and the date and time the message was sent and/or received;
2. when email is sent to a distribution list, information identifying all parties on the list is retained for as long as the message is retained; and
3. if the email system uses codes, or aliases to identify senders or recipients, a record of their real names is kept for as long as any record containing only the codes or aliases. For example, if you are communicating with someone via the Internet, and their email address is JerryR@... then a record must be kept of who they are. This might be done simply by always including their full name in the body of the message.

Question: Why is it necessary to keep the transmission data about the sender, receiver, date and time of the email?

Answer: You would not delete the names of the sender and addressee, the date, or a time stamp from a letter on paper. The data identifying the sender and recipient(s), the time and date the message was sent, and on the recipient(s) copy, the time and date it was received are equally essential elements that constitute a complete email record.

Question: What about attachments to an email message? Do I have to keep them as well?

Answer: Yes. If a message qualifies as part of the documentation of your activities, you need to make sure that related items that provide context for the message are maintained as well. This includes attachments. You would keep them under the same conditions that you would if they were paper documents.



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

(Frequently Asked Questions Continued)

Question: If my outgoing message is a record, should I ask for a return receipt to make sure that the person I sent it to got it?

Answer: It is not necessary to ask for a return receipt or read receipt in email any more that it is necessary in hard copy. If it is important to document for the records the time that a message was opened, then that receipt must be retained along with the message for as long as the message is retained. You also need to have some means of linking the receipt to the message so it is clear what outgoing message the receipt documents.

Question: Do I need to retain both the original message and the reply?

Answer: The requirement is to create and maintain understandable record documenting activities. Some reply email messages contain enough information from the original message that they can stand on their own, but most do not. The simplest way to ensure understandability of email messages that will become part of the record is to incorporate the original message in any reply and maintain them as a unit. If email is sent back and forth and the most recent message has the entire sequence of messages, you need to keep only the final message (including the previous messages and replies) as long as it also contains attachments and other data such as the sender, receivers, date and time that are necessary for a complete record.

Question: How long do I need to keep email records?

Answer: Retain email records in accordance with your records retention schedule.

Question: Where do I keep email records?

Answer: You should store email records in a recordkeeping system. This system may be either paper or electronic. Refer to the recommendations in the email retention policy on page 6.

The system must logically relate or group records in accordance with your retention schedule.

Ensure the records are accessible to authorized persons throughout their life; support retention of the records for as long as required; facilitate destruction of records on schedule; and enable transfer of those records with permanent retention value to the University Archives.

Question: How do I forward electronic records to the University Archives?

Answer: Contact the University Library Archives for instruction.



**RECORDS RETENTION PROGRAM
OFFICE OF GENERAL COUNSEL**

(Frequently Asked Questions Continued)

Question: Do I need to retain both an electronic and hard copy for the same email message?

Answer: No, if you retain the entire record in either form, and it is properly filed, you do not need to retain both electronic and hard copies.



RECORDS SERIES INVENTORY

1.DIVISION/COLLEGE	2. OFFICE/DEPARTMENT
3. CONTACT PERSON	4. TELEPHONE #
5. RECORDS ARE LOCATED IN (BLDG/ROOM #) includes storage	6. NAME OF RECORD SERIES(Refer to individual record series in manual)
7. *RETENTION GROUP NUMBER Legal period _____ For use by university records retention manager Legal group #_____ No Legal period_____	8. DATES OF DOCUMENTS IN THE RECORDS SERIES From: Month Year To: Month Year
9. DESCRIPTION OF RECORDS SERIES MEDIA <input type="checkbox"/> Paper <input type="checkbox"/> Diskette <input type="checkbox"/> Microfilm <input type="checkbox"/> Computer Printout <input type="checkbox"/> Magnetic Tape/Disk <input type="checkbox"/> Microfiche <input type="checkbox"/> Card File <input type="checkbox"/> Other, specify_____	10. DESCRIBE THE DOCUMENTS IN THIS RECORD SERIES: (use back of form if necessary)
11. SPACE OCCUPYING(Estimate) Total filing inches or cubic feet (refer to guidelines to assessing volume of records)	12. SIZE OF DOCUMENTS IN THIS SERIES <input type="checkbox"/> Letter (8.5x11) <input type="checkbox"/> Legal (8.5x14) <input type="checkbox"/> Both Letter & Legal <input type="checkbox"/> Card Size _____” x _____” <input type="checkbox"/> Computer Printout (11x15) <input type="checkbox"/> Other, specify_____
13. TYPE OF EQUIPMENT USED TO FILE SERIES <input type="checkbox"/> Vertical File Cabinet <input type="checkbox"/> Lateral File Cabinet <input type="checkbox"/> Shelf File <input type="checkbox"/> Storage Carton <input type="checkbox"/> Desk <input type="checkbox"/> Other, specify_____	14. DOES THIS SERIES INCLUDE SPECIAL FILES? (maps, photos, audio, video, etc.) <input type="checkbox"/> No <input type="checkbox"/> Yes Specify_____
15. DO YOU CONSIDER YOUR OFFICE THE OFFICIAL KEEPER OF THIS SERIES? (maintained for litigation, audit, etc., the only or most complete copy) Yes No Unsure Who has the official copy? (if known) _____	16. RECORDS SERIES IS ARRANGED <input type="checkbox"/> Subjective <input type="checkbox"/> Alphabetical by Name <input type="checkbox"/> Alphabetical by Subject <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographic Location <input type="checkbox"/> Other, specify_____
17. ESTIMATE HOW FAST THIS SERIES GROWS IN A YEAR <input type="checkbox"/> 6 inches or less <input type="checkbox"/> Up to one file drawer <input type="checkbox"/> More than one drawer; how many? _____ <input type="checkbox"/> None, Records Series is no longer used <input type="checkbox"/> Other, specify_____	18. <div>Is record confidential? Is record historical? Is records series needed for internal/external audit? Is records series affected by any governmental regulation? (What? How Long?) Is records series a vital record If yes, explain on reverse side how it is protected.</div> <div>Y N <input type="checkbox"/><input type="checkbox"/> <input type="checkbox"/><input type="checkbox"/> <input type="checkbox"/><input type="checkbox"/> <input type="checkbox"/><input type="checkbox"/> <input type="checkbox"/><input type="checkbox"/></div>
19. RECOMMENDED RETENTION (operational need, not less than legal minimum)	20. What retention period is presently used for this series? _____ Explain why? _____
21. RECOMMENDED DISPOSITION(Destroy/Archive)	22. DATE REVIEWED BY UNIVERSITY RETENTION MANAGER

Use to identify new records not covered by the retention schedule



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

INSTRUCTIONS FOR COMPLETING THE RECORD SERIES INVENTORY *THIS PROCESS IS FOLLOWED TO ADD NEW RECORDS NOT COVERED BY THE RETENTION SCHEDULE*

The Records Series Inventory is how records maintained by each department/office are documented. It is also how we collect information necessary for writing new record retention schedules and revising schedules. Return completed forms to the university records retention manager, located in Parker Hannifin Administration Building, Suite 327 extension 2062 or 3543.

GETTING STARTED: It is recommended that you prepare a listing of all records maintained by your department/office. Compare your listing to the IUC Individual Record Series, which can be obtained from the records retention manager. Review the descriptions and match as many of your records as possible to the series listing. One (1) record series inventory form should be completed for each record series maintained by your department/office. Follow the numbers on the record series inventory to complete.

1. **Division/College** - The area your office/department is in, e.g., College of Science, College of Liberal Arts and Social Sciences.
2. **Office/Department** – Name of your department/office, E.g., Accounts Payable, Purchasing, Affirmative Action, etc.
3. **Contact Person** - The name of the person designated to manage records for your department/office and work with the records retention manager – record liaison.
4. **Telephone Number** - The extension number of the contact person.
5. **Records Are Located In (Bldg. /Room#)** - List the name of the building and room number the records are housed, includes records stored in other rooms/buildings other than in your area, excluding the University Archives.
6. **Name of Records Series** - List title of series. Refer to your records retention schedule.
7. **Retention Number** - The retention number as designated on your records retention schedule. In the case of a newly formed area, leave blank for assignment by the university records retention manager.
8. **Dates Of Documents In The Records Series** - List date span of records, listing month/year to month/year, e.g., from 12/98- 5/2002. It is important to list the year of the oldest record in the series maintained by your office.



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(Instructions for Records Series Inventory)

9. **Description Of Records Series Media** - Indicate the type of media the records are on, e.g., paper, cd's, etc.
10. **Describe The Documents In This Record Series** – Give a definition of the records and what may be included with them. This is mandatory when requesting to add a new record to a schedule.
11. **Space Occupying** - Estimate the amounts of space records are taking up in cubic feet or very small amounts in inches, refer to "Guidelines To Assessing Volume of Records" or "Guide to estimate feet occupied by magnetic media."
12. **Size Of Documents In This Series** - Check all sizes that apply to the documents.
13. **Type Of Equipment Used** - Check the type of equipment records are housed in.
14. **Does this series include special files?** Check yes or no. If yes, indicate types (audio, video tapes, maps, posters, blueprints, paintings, etc.
15. **Do you consider your office the official keeper of this series?** - (Also known as office of records) Circle the appropriate answer. Check with chairperson or other person who may have this knowledge if you are not sure. If the answer to this question is verified by the chairperson circle "yes." May be original or copy originated by your department.
16. **Records Series Arrangement** - Check the filing method used.
17. **Estimate how fast this series grows in a year** – Check the most appropriate item.
18. **Check those that apply:** Yes or No.



RECORDS RETENTION PROGRAM OFFICE OF GENERAL COUNSEL

(Instructions for Records Series Inventory)

Confidential Record - disclosure of information is limited or prohibited.

Please refer to the Ohio Sunshine Law Update, Chapter III -“Exceptions to the Required Release of Public Records” page 25.

www.ohioattorneygeneral.gov/files/Publications/Publications-for-Legal/Sunshine-Laws/Sunshine-Laws-Manual.aspx

Historical Record - providing evidence for a fact of history; showing the development or evolution in proper chronological order.

Vital Record - contains information needed to establish or continue the institution in the event of a disaster; those necessary to re-create the institutions legal and financial position, those necessary to preserve the rights of the institution, its employees and students.

19. **Recommended Retention** - Based on the activity of your office make a recommendation of how long your office needs to maintain this series. Check with the department manager/chairperson to help make this determination, if necessary. You may go with the legal or recommended minimum retention period as listed in the IUC series listing. This may be higher, within reason if the activity of the office dictates it. If this section is left blank, it will be completed with the minimum periods of time by the university record retention manager.

20. **What retention period is presently being used?** - Indicate if a retention period is presently being used by the department for this series, what it is and explain why it is being used.

21. **Recommended Disposition** – This will be listed in the IUC Series listing, which may be obtained from the university records retention manager.

22. **Date Reviewed:** Date inventory sheets are reviewed by the university records retention manager.

NOTE: If you run out of room on the front of the form, reference the number of the section and continue on the back.