



Cleveland State University

Records Retention Schedule

March 2018

UNDERSTANDING THE RECORDS RETENTION SCHEDULE

Definitions of words listed in the DISPOSITION column of the retention schedule

The disposition will either be “destroy” or archive.

Review for continuing historical value and potential transfer to University Archives - records are to be reviewed and a determination made by the area if records qualify for forwarding to the University Archives. If assistance is needed in determining if records have **historical value**, contact the Archivist for assistance. Final disposition will be made by the University Archivist. Those records determined to not have historical value may be destroyed after proper approvals.

Archives

Documents with historical value may be forwarded to the University Archives for storage. This is identified in the disposition section of the schedule. Contact the university archivist for instruction. Complete the **Transfer to Archives Certificate** located in the online program manual. Prepare an index of documents contained in the boxes. Give a copy of the index to the archivist and keep one for your files.

Permanent

The continued preservation of information or other matter without any limit in time. Records with a disposition of permanent and not eligible for transfer to the archives are to be stored by the department.

Gifts

Gifts to institutions are divided into two classifications: current gifts and deferred gifts. A gift is considered current when the donors completely and irrevocably relinquish any interest they have in something, such as presenting a check, transferring real estate, or giving stock. A gift is considered deferred when the donors transfer property to an institution but retain the property for a specific period of time.



NOTES:

REGARDING EMAILS:

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

IT IS IMPORTANT TO TAKE TIME TO ORGANIZE YOUR EMAILS INTO FOLDERS TO BETTER ACCOMMODATE RETENTION AND DESTRUCTION

Email messages are to be treated no differently than any other type of records you possess or create. Refer to your records retention schedule before deleting emails. Categorize and retain according to the records retention schedule using the subject or the purpose of the email message. **Refer to the email retention policy.**

Abbreviations Used

ACT **WHILE ACTIVE (graduated, terminated, end of semester, no longer attending, no longer referenced, etc.**

ACT + # **WHILE ACTIVE PLUS NUMBER OF YEARS**

IND **INDEFINITE RETENTION (retain minimum time frame and review for value, may be based on operational need and/or statute of limitations)**

LOB **LIFE OF BUILDING**

LOB + # **LIFE OF BUILDING PLUS NUMBER OF YEARS**

SUP **UNTIL SUPERSEDED (another updated document takes its' place**

Refer to the schedule for the records that pertain to your area



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Retention Periods Pertain To Paper and Electronic Formats

Department shown in “blue” is considered the official keeper of record and required to retain record for entire retention period

Record Series	IUC No.	Retain	Disposition
<u>Accounting Records</u> (Accounts payable invoices, receipts, duplication requests, purchase requisitions, travel expense records, small order forms, petty cash records, telephone expense records, budget transfers, delivery slips, textbook orders)	ACC1000	4 years	Destroy
<u>Accounts Payable</u> (Amounts owed on open account for services or goods received)	ACC1000	4 years	Destroy
<u>Accounts Payable – ledgers</u>	ACC1000	4 years	Destroy
<u>Accounts Payable - vouchers</u>	ACC1000	4 years	Destroy
<u>Accounts Receivable</u> (amounts due from others on open accounts as a result of providing goods or services)	ACC1000	4 years	Destroy
<u>Campus Support Services</u> <u>Vendor Files</u>	ACC1000	4 years	Destroy
<u>Capital Planning-Architect’s</u> <u>State Encumbrance/Voucher Files</u> (indicated State funds encumbered by contractor/vendor with voucher)	ACC1000	4 years	Destroy
<u>Cash Books</u> (report of institutional assets, liabilities, and equities; periodic report, not the year-end report)	ACC1000	4 years	Destroy
<u>Cash Disbursement Journal</u> (record of institution’s cash transactions showing a running balance)	ACC1000	4 years	Destroy
<u>Cash Journals</u> (journal of cash received)	ACC1000	4 years	Destroy
<u>Cash receipts</u> (receipts for cash received or cash sales)	ACC1000	4 years	Destroy
<u>Cash Register Tapes</u>	ACC1000	4 years	Destroy
<u>Chargeback Billing Records</u> (reports and records from campus computer centers detailing charges for computer services)	ACC1000	4 years	Destroy



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Record Series	IUC No.	Retain	Disposition
<u>Classified Staff Report Union Dues Membership List</u> (biweekly listing of university employees paying dues to unions, including pertinent personal data, classification and department)	ACC1000	4 years	Destroy
<u>Conference Services</u> <u>Accounts Payable</u> (rental equipment ordered for events on campus for both on campus groups and outside organizations)	ACC1000	1 year (from date of rental return)	Destroy
<u>Conference Services</u> <u>Accounts Receivable – Rentals</u> (rental contracts with full set up and billing information regarding events from an outside organization utilizing university facilities)	ACC1000	Active + 4 years	Destroy
<u>Controller’s</u> <u>Return Authorizations</u> (forms for returned goods bought on PO, returned for repair or replacement, etc includes RA#’s and credit memos if applicable)	ACC1000	4 years	Destroy
<u>Controller’s</u> <u>Miscellaneous Student Accounts Reports</u>	ACC1000	4 years	Destroy
<u>Controller’s</u> <u>Student Accounts Reports</u>	ACC1000	4 years	Destroy
<u>Controller’s</u> <u>Account Adjustments</u> (reasoning and authorization for changes and adjustments made to patron accounts)	ACC3000	4 years	Destroy
<u>Controller’s</u> <u>Capital Encumbrance Requests</u> (records requesting release of capital funds)	ACC2000	Active + 6 years	Destroy
<u>Controller’s</u> <u>Billing Runs</u> (copies of bills issued to student/patrons, departments’ and third parties)	ACC3000	4 years	Destroy
<u>Controller’s</u> <u>Monthly Financial Reports</u> (summary of transactions including dollar amount and account numbers, A/P balance sheets, A/P reconciliation, void check report, city withholding, A/R to G/L reconciliation, Perkins to ECSI reconciliation)	ACC3000	4 years	Destroy



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Record Series	IUC No.	Retain	Disposition
<u>Credit Card Sales Receipts & Statements</u>	ACC1000	4 years	Destroy
Financial Aid <u>Canceled Check Records</u> (journal showing student financial aid payments)	ACC1000	4 years	Destroy
Financial Aid <u>Disbursement records</u>	ACC1000	4 years	Destroy
Financial Aid <u>Financial Aid Adjustments</u> (authorizations and adjustments to students financial aid)	ACC1000	4 years	Destroy
Financial Aid <u>Financial Aid Award Disbursement Records</u> (statement by individual of award amounts disbursed. Contains name, type and amount)	ACC1000	4 years	Destroy
Financial Aid <u>Financial Aid Canceled Check Records</u> (canceled checks, check stubs and check journal showing payments for financial aid made to students)	ACC1000	4 years	Destroy
Financial Aid <u>Student Accounting Records-Accounting Billing Letters</u> (concerns student who withdrew or reduced credit hours and were billed for the return of surplus aid money)	ACC1000	4 years	Destroy
Financial Aid <u>Perkins Journal Entries</u>	ACC3000	Active + 4 years	Destroy
Health & Wellness Services <u>Super Bill Files</u> (record given to person who visits health services. Records diagnosis, treatment, and charges or lack of charges. Used for insurance claims)	ACC1000	4 years	Destroy
IS&T <u>Computer Center Time Billing Records</u> (computer center records detailing charges for computer services)	ACC1000	4 years	Destroy



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Record Series	IUC No.	Retain	Disposition
IS&T <u>Data Processing Procurement Files</u> (records of procurement of system hardware and software)	ACC2000	Active + 6 years	Destroy
IS&T <u>Site Equipment Support Files</u> (records of support services provided for specific data processing equipment)	ACC2030	Active + 6 years	Destroy
<u>Invoices</u> (bills for goods shipped or services rendered. Usually matched to purchase orders and delivery slips and attached to voucher for payment)	ACC1000	4 years	Destroy
Libraries <u>Statement of Charges</u> (fines owed)	ACC1000	4 years	Destroy
Mailroom <u>Mail Room - Accountable</u> (express, registered, certified proof of delivery, and proof of outgoing from departments, incoming addresses for various individuals & departments)	ACC1000	4 years	Destroy
Mail Room <u>Postal Transactions</u> (includes transactions from all mail department reports for all University accounts, records of postage spent by each department, copy by department of express, registered, certified proof of delivered mail by department)	ACC3000	4 years	Destroy



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Record series	IUC No.	Retain	Disposition
<u>Parking</u> <u>Daily Income Records</u>	ACC1000	4 years	Destroy
<u>Parking</u> <u>Invoices – Outside the University</u> (billings for parking, special events, reserved parking, etc.)	ACC1000	4 years	Destroy
<u>Parking</u> <u>Journal Vouchers</u> (funds due parking for special events, decals and reserved parking with the University)	ACC1000	4 years	Destroy
<u>Parking</u> <u>Special Event Lot Revenue and Expense Sheets</u> (record of special events-lots used, tickets issued, sold and returned, expenses and profit)	ACC1000	4 years	Destroy
<u>Parking</u> <u>Tickets Paid</u>	ACC1000	1 year	Destroy
<u>Parking</u> <u>Parking Appeals</u>	ACC3000	6 years	Destroy
<u>Parking</u> <u>Parking Fine Adjustments</u> (includes citation appeals & decisions)	ACC3000	4 years	Destroy
<u>Payroll</u> <u>Annuity Reports</u> (payroll deduction or statement for employees' annuity plans)	ACC1000	4 years	Destroy
<u>Payroll</u> <u>Change Report: Classified Staff</u> (bi-weekly listings of payroll adjustments processed through Personnel Services concerning full-time or part-time employee status)	ACC1000	4 years	Destroy
<u>Payroll</u> <u>Payroll Expense Report</u>	ACC1000	4 years	Destroy
<u>Payroll</u> <u>Worker's Compensation Payments</u>	ACC1000	4 years	Destroy
<u>Petty Cash records</u>	ACC1000	4 years	Destroy



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Record series	IUC No.	Retain	Disposition
Purchasing Continuous Orders	ACC1000	4 years	Destroy
Royalty Payments	ACC1000	4 years	Destroy
Receipts	ACC1000	4 years	Destroy
Registers	ACC1000	4 years	Destroy
Requisitions (forms for ordering goods and services)	ACC1000	4 years	Destroy
Residence Life Student Dorm Contracts (agreements between students and residence halls governing room and boards and fee payment agreements, includes meal plan authorizations)	ACC1000	4 years	Destroy
Residence Life Dorm Contracts Release Files (includes application, correspondence, and record of decision reached concerning request to break contracts for room and board)	ACC1000	4 years	Destroy
Residence Life Front Desk Balancing Form (financial transaction sheet designed for front desk, contains student/staff financial transactions)	ACC3000	4 years	Destroy
Sales Receipts	ACC1000	4 years	Destroy
Student Accounting Records – Insurance Records (records of students enrolled in university health program)	ACC1000	4 years	Destroy
Stop Payment Forms (includes stop payment forms and print outs of online stop payment activity)	ACC1000	4 years	Destroy
Speech and Hearing Clinic Clinical Billings/Receipts	ACC1000	6 years	Destroy
Subsidiary Ledgers (book of accounts of the university)	ACC1000	4 years	Destroy
Telephone Expense Records	ACC1000	4 years	Destroy
Dramatic Arts Ticket Stubs (ticket stubs from tickets sold at theatre productions)	ACC1000	4 years	Destroy
Travel Expenses	ACC1000	4 years	Destroy
Treasury Services Emergency Tuition Adjustment Requests	ACC1000	4 years	Destroy



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Record series	IUC No.	Retain	Disposition
Treasury Services <u>Overpayment of Educational Expense Billing</u>	ACC1000	4 years	Destroy
Treasury Services <u>Tuition Remission Applications</u> (tuition waiver records for employees and dependents)	ACC1000	4 years	Destroy
<u>Unemployment Insurance Payments</u>	ACC1000	4 years	Destroy
<u>Utility Company Invoices</u>	ACC1000	5 years	Destroy
<u>Vending Commission Income Records</u>	ACC1000	4 years	Destroy
<u>Voucher Register</u>	ACC1000	4 years	Destroy
<u>General Ledgers</u> (summary or detail of all transactions affecting the account of the university)	ACC1010	6 years	Review for historical value & transfer to archives
Law Clinic <u>Clinic Trust Fund Account</u>	ACC1010	IND	Destroy
Athletics <u>Inventory Records</u> (equipment issued to student athletes)	ACC2000	Active + 6 years	Destroy
<u>Property Control</u> <u>Inventory Control Records</u>	ACC2000	Active + 6 years	Destroy
<u>Work Orders</u>	ACC2000	Active + 6 years	Destroy
<u>Balance Sheets</u>	ACC3000	4 years	Destroy
<u>Chart of Accounts</u> (expense account files)	ACC3000	4 years	Destroy
<u>Journals</u> (Chronological record in which financial transactions are first recorded before being posted as a credit or debit in a ledger.)	ACC3000	4 years	Destroy
<u>Journal entries</u> (records entering details of a transaction into the accounting system. Journal entries are made in a journal and later posted to a ledger)	ACC3000	4 years	Destroy
<u>MBE Quarterly Report</u> (report of purchases from State certified minority business enterprises along with actual expenditures MBE & EDGE report and MBE/EDGE vendor print out)	ACC3000	4 years	Destroy



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Record series	IUC No.	Retain	Disposition
Planning Assessment & Information Planning Models (records related to planning and forecasting for internal purposes.)	ADM1020	Active + 1 year	Review for continuing value
Planning Documents (includes self-studies and strategic plans)	ADM1020	Active + 1 year	Destroy
Planning/Forecasting (Administrative Records)	ADM1020	Active + 1 years	Review for archive value
Inventory Control Records	ADM2000	Active + 6 years	Destroy
Facilities Management Building Files (files for each building on campus that contain correspondence pertaining to each particular building, includes complaints, service requests, projects, maintenance)	ADM2020	Active + 6 years	Destroy
Facilities Management Field Sheets (equipment, motor and electrical data for new buildings and equipment – used for preventative maintenance)	ADM2020	Active + 6 years	Destroy
Facilities Management Property Maintenance Records	ADM2020	Active + 6 years	Destroy
Facilities Management Generator Test Records	ADM2020	Active + 5 years	Destroy
Facilities Management Surplus Property Documentation	ADM2020	Active + 6 years	Destroy
Facilities Management Construction Designs and Specifications (written requirements and standards for materials, equipment, construction systems and workmanship as applied to the work and certain administrative details applicable thereto)	ADM2030	Active + 6 years	Archives
Facilities Management Energy Conservation Projects (includes grant applications, energy audit data, grant award, correspondence, design and implementation documents, Federal and State requested reporting forms, rejection letters,)	ADM3020	IND (minimum 10 years)	Archives



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Record series	IUC No.	Retain	Disposition
Facilities Management Daily Energy Reports (total campus electric and steam, projected monthly electric use and cost compared to budget)	ADM9900	5 years	Destroy
Facilities Management Sewer Charge Exemption (quarterly reports to NEORS D reporting meter readings for buildings receiving sewer charge exemption)	ADM9900	Active + 1 year after audit	Destroy
Facilities Management Steam Consumption (Monthly sheets listing steam consumption along with weather date for purpose of issuing a daily energy report)	ADM9900	7 years	Destroy
Facilities Management Utility Records/Readings	ADM9900	7 years	Destroy
Facilities Management Weather Forecasts	ADM9900	2 years	Destroy
IS&T Information Systems Maintenance Contract Files (records documenting support services provided to specific data processing equipment or installations)	ADM2020	Active + 6 years (inactive when equipment no longer owned)	Destroy
IS&T Data Processing Policies (records of data processing policies including those covering access and security, systems development, data retention and disposition and data ownership)	ADM3000	Retain 3 years after policy is withdrawn, revised, updated or superseded	Destroy
IS&T Computer Usage Chargeback Billings	ADM9900	Retain 3 system backups	Destroy
IS&T Computer Usage Reports - Summaries (computer center records created to document computer usage)	ADM9900	Active	Destroy



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Record series	IUC No.	Retain	Disposition
<p>IS&T <u>Application Development Project Files</u> (records created and used in the development, redesign, or modification of an automated system or application, e.g. project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, memoranda and correspondence)</p>	ADM9900	3 years after system is no longer in use	Destroy May retain for reference
<p>IS&T <u>Automated Program Listing/Source Code</u> (automated program code which generates machine language instructions used to operate information system)</p>	ADM9900	Active	Destroy
<p>IS&T <u>Automated Tape Library System</u> (automated records used to control location, maintenance, and disposition of magnetic media in a tape library)</p>	ADM9900	Active	Destroy
<p>IS&T <u>Data Processing Hardware Documentation</u> (Records documenting operation of equipment; includes control systems, configurations and manuals)</p>	ADM9900	Until obsolete	Destroy when no longer used & all data is migrated to new hardware.
<p>IS&T <u>Maintenance Contracts Files – Data Processing Equipment</u> (includes copies of contracts, service histories and work orders)</p>	ADM9900	Active + 6 years	Destroy
<p>IS&T <u>Mobile Campus Equipment Use & Liability Policy Forms</u> (documents student’s eligibility, fines, liability and limitations while using a loaner laptop, two forms of I.D. are attached to this form)</p>	ADM9900	Active + 7 years	Destroy
<p>IS&T <u>Mobile Campus Loan Forms</u> (used to document laptop loan to students)</p>	ADM9900	Current semester + 1 previous semester	Destroy
<p>IS&T <u>PeopleSoft Access Forms</u> (requests for access to PeopleSoft)</p>	ADM9900	Active	Destroy



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Record series	IUC No.	Retain	Disposition
IS&T <u>Data Processing Operating Procedures</u> (records of procedures for data entry, the operation of computer equipment, protection control, tape library, system back up, and other aspects of a data processing operation)	ADM9910	3 years after procedure is updated, revised withdrawn or superseded	Destroy
IS&T <u>Data Systems Specifications</u> (user and operational documentation describing how application systems operates from a data processing or functional user point of view)	ADM9910	3 years after migration or discontinuance of system	Review for historical value
IS&T <u>Technical Program Documentation</u> (program code, maintenance logs flowcharts, system change notices, original design documents, acceptance tests and other documentation of computer programs and modifications)	ADM9910	Retain until data migrated to new system or destroyed	If not all data migrated or destroyed, review for historical value
IS&T <u>Data Documentation/Data Dictionary Records</u> (generally created during development or modification and are necessary to access, retrieve, manipulate and interpret data in an automated system)	ADM9920	Active + 3 years	Destroy
IS&T <u>Information Systems Hardware & Software Conversion Plans</u>	ADM9920	Active + 3 years	Destroy
IS&T <u>Information Systems Information Resources Management and Data Processing Services Plans</u> (University IT plans, data processing service plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas)	ADM9920	Active + 3 years	Review for continuing historical value and potential transfer to Archives



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Record series	IUC No.	Retain	Disposition
IS&T Information Systems <u>Network Usage Reports</u> (summary reports and other records created to document computer usage for reporting or other purposes)	ADM9920	Active + 3 years	Destroy
IS&T Information Systems <u>Operating Procedures & Hardware Conversion Plans</u> (records of procedures for data entry, computer equipment operation, production control, tape library, system back up, and other aspects of a data processing operation)	ADM9920	Active + 3 years	Review for continuing historical value and potential transfer to Archives
IS&T Information Systems <u>Test Database and Files</u> (routine or benchmark data sets, related documentation, and test routsidesresults constructed or used to test or develop a system)	ADM9920	Active + 3 years	Destroy
IS&T Information Systems <u>Audit Trail Files</u> (data generated during the creation of a master file or database used to validate a master file or database during a processing cycle)	ADM9925	3 cycles	Destroy
IS&T Information Systems <u>Backup Files</u> (copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction)	ADM9925	3 cycles + backup	Destroy
Motor Pool <u>Motor Vehicle Records</u> (includes title, insurance, and maintenance documentation)	ADM2020	Active + 6 years	Destroy



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Record series	IUC No.	Retain	Disposition
Capital Planning – Architect’s Administration – Floor Plans (floor plans with field notes, architectural engineering drawings) <i>[Electronic files - refer to: Project Files]</i>	ADM2030	LOB + 6 years	Archives
Capital Planning – Architect’s Blueprints <i>[Electronic files - refer to: Project Files]</i>	ADM 2030	LOB + 6 years	Archives
Capital Planning – Architect’s Blueprints (As-built construction drawings) <i>[Electronic files - refer to: Project Files]</i>	ADM2030	LOB- + 6 years	Review for continued value and potential transfer to archives
Capital Planning – Architect’s Building and Project Plans (original building plans and details for new buildings, building renovations and original building documents) <i>[Electronic files - refer to: Project Files]</i>	ADM2030	LOB + 6 years (inactive when no longer referenced)	Archives
Capital Planning – Architect’s Building Project Folders (documentation of funding, expenses, design and specs., correspondence for renovation)	ADM 2030	LOB + 6 years	Maintain for life of building
Capital Planning – Architect’s Building Specifications	ADM 2030	LOB + 6 years	Archives
Capital Planning – Architect’s Construction Projects – Construction Designs and Specifications (written requirements and standards for materials, equipment, construction systems) <i>[Electronic files - refer to: Project Files]</i>	ADM2030	LOB + 6 years	Archives
Capital Planning – Architect’s Construction Projects – Construction Documents (collectively, drawings, specifications, addenda, definitions, notice to bidders, bonds, bid form, contract and attachments, bulletins, shop drawings, change order procedures, change orders, pricing guidelines and standard conditions of the contract assignments if any – general and special) <i>[Electronic files - refer to: Project Files]</i>	ADM2030	LOB + 6 years	Permanent



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Record series	IUC No.	Retain	Disposition
<p>Capital Planning – Architect’s Construction Projects – Design Development (project design is fully described with regard to basic building systems and materials as well as all special systems needed to support the program) <i>[Electronic files - refer to: Project Files]</i></p>	ADM2030	LOB + 6 years	Archives
<p>Capital Planning – Architect’s Construction Projects Design Review Committee <i>[Committee no longer functions]</i> (minutes, agendas, correspondence and general information. Committee responsible to review site and elevation plans to ensure compatibility with surrounding projects and master plan) <i>[Electronic files - refer to: Project Files]</i></p>	ADM2030	LOB + 6 years	Review for continued value and possible transfer to archives
<p>Capital Planning – Architect’s Construction Projects – Schematic Design (analysis of site impact and volumetric formation, circulation patterns and infrastructure illustrating client and architect’s design vision in a definitive way) <i>[Electronic files - refer to: Project Files]</i></p>	ADM 2030	LOB + 6 years	Archives
<p>Capital Planning – Architect’s Construction Project Request & Program Statement (request from the University community to initiate a project) <i>[Electronic files - refer to: Project Files]</i></p>	ADM2030	LOB + 6 years	Review for continued value and possible transfer to archives
<p>Capital Planning – Architect’s Project Files Documents (documentation of evolution and changes in space configuration and assignment for capital construction and large scale local renovation) <i>[Electronic files - refer to: Project Files]</i></p>	ADM2030	10 years	Archives
<p>Capital Planning-Architect’s Shop Drawings (drawings indicating materials and methods approved by the associate for installation by contractor) <i>[Electronic files - refer to: Project Files]</i></p>	ADM2030	Active + 6 years	Archives



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Record series	IUC No.	Retain	Disposition
Capital Planning - Architect's Space Utilization Files <i>[Electronic files - refer to: Project Files]</i>	ADM2030	Active + 6 years	Destroy
Capital Planning - Architect's Working Building Drawings (reference drawings for Architects, Mechanical, Electrical plans and details for all buildings, drawings of record) <i>[Electronic files - refer to: Project Files]</i>	ADM2030	LOB + 3 years	Archives
Facilities Management Construction Designs and Specifications (written requirements and standards for materials, equipment, construction systems and workmanship) <i>[Electronic files - refer to: Project Files]</i>	ADM2030	LOB + 6 years	Archives
Board of Trustees Board and University Policies (trustees by-laws, University policies, CSU handbook)	ADM3000	IND	Place in BOT storage
Board of Trustees Board and Committee Minutes (files of the board of trustees, committees, governance groups documenting the official actions of governing bodies – includes agendas and meeting notices)	ADM9910	IND	Board of Trustees Storage – copy to Archives microfiche/disks to offsite storage
Board of Trustees Honorary Degrees (honorary degree recommendations, lists, information on candidates and recipients)	ADM9910	IND	Board of Trustees Storage
Board of Trustees Trustee Appointment Files (past and present individual trustee files, includes resumes, letters, correspondence, articles, etc. faculty and student representatives)	ADM9910	Active + 3 years	BOT Storage
Board of Trustees Visiting Committee Files	ACC1000	6 years	Board of Trustees Storage
Fire Prevention Information	ADM3000	Active	Destroy
Organizational Charts	ADM3000	Active + 10 years	Archives



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Record series	IUC No.	Retain	Disposition
<u>Policies/Procedures</u> (includes office and job practices, administrative handbooks, procedures manuals, software and equipment manuals)	ADM3000	Active + 10 years	Review for continuing value
<u>Vice Provost for Research</u> <u>Research Protocol Committee Files</u>	ADM3000	Active + 10 years	Archives
<u>Athletics</u> <u>Sport Reports</u> (signatures of family members receiving tickets for CSU varsity athletic competitions names, address, phone numbers and payments)	ADM3000	Active + 10 years	Destroy
<u>Athletics</u> <u>Videos</u> of basketball games	ADM9900	IND	Review for current value
<u>Audits Department</u> <u>Audit & Project Work Papers</u>	ADM3010	4 years	Destroy
<u>Audit Report – Internal</u> (final report internal auditor)	ADM3010	4 years	Destroy
<u>Senior Vice President/Dean</u> <u>Accreditation Files</u> (files documenting accreditation review by accrediting agencies)	ADM3020	10 years	Archives
<u>Academic Affairs</u> <u>Faculty Promotion and Tenure Policy</u> (departmental procedures and guidelines)	ADM3020	10 years	Archives
<u>Records Destruction Records</u>	ADM3020	10 years	Destroy
<u>Academic Affairs</u> <u>AAUP Faculty Data:</u> (Demographic and employment data)	ADM9900	Active + 10 years (inactive when no longer needed for administrative reference)	Archives
<u>Academic Affairs</u> <u>Academic Personnel Inventory</u> (teaching load analysis)	ADM9900	Active + 5 years	Review for Archives
<u>AMBA/EMBA Programs</u> <u>Accelerated/Executive Masters Business Administration Records</u> (record of payment, registration and adjustments for student in programs)	ADM9900	1 year	Destroy



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Department shown in “blue” is considered the official keeper of record and required to retain record for entire retention period

Record series	IUC No.	Retain	Disposition
Ohio Board of Regents <u>Annual FTE Report</u> (required annual report to OBOR documenting full time equivalent staffing levels. Summary of inventory is sent to Ohio Board of Regents.)	ADM9900	1 year	Destroy – Review for historical value and possible transfer for Archives
<u>Art Gallery</u> Gallery Show Information (includes information of past and present shows, artist’s information, slides, photos, exhibition pieces, correspondence concerning shows)	ADM9900	3 years	Archives
<u>Conference Services</u> Reservation Forms (original facility and equipment requests by on campus groups and confirmation forms for scheduled events)	ADM9900	Active + 1 year	Destroy
<u>Customer Evaluation Sheets</u> (requests to evaluate service to campus community)	ADM9900	1 year	Destroy
<u>ECM Status Reports</u> (semi-annual reports of current USDOE funded ECM budget)	ADM9900	Active + 1 year	Destroy
<u>General Administrative Subject Files</u> (files of correspondence, reports, memoranda, etc., documenting activities of general administrative offices – excludes President, Vice President, Director, Dean or Chair and other upper level administrative offices)	ADM9900	1 year	Destroy
<u>Health Insurance Waiver Requests</u> (signed waiver indicating student’s acceptance or waiver of university student health insurance)	ADM9900	1 year	Destroy



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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
Human Resources <u>Administrative State Civil Service, Personnel Accounting for Classified Employees</u>	ADM9900	1 year	Destroy
Human Resources <u>Classified Staff Report</u> (monthly and annual reports listing information on classified employees such as promotions, new hires, classifications, pay range/step, training, suspensions, terminations, etc.)	ADM9900	1 year	Destroy
Human Resources <u>Department Assistance File</u> <u>Classified Staff</u> (correspondence documenting personnel office services to university or college department regarding classified staff positions)	ADM9900	1 year	Destroy
Human Resources <u>Personnel – Reports</u> (vacancy tracking system; promotions tracking system and other administrative processes)	ADM9900	5 years	Destroy
Input Documents (copies of records or forms designed and used solely for data input and control)	ADM9900	Until verified	Destroy
Libraries <u>Annual Library Reports</u>	ADM9900	SUP	Archives
Library <u>Courtesy Patron Forms</u>	ADM9910	Active + 1 year	Destroy
Libraries <u>Library Database</u>	ADM9900	Until Obsolete	Destroy
Libraries <u>Library Statistical Database</u>	ADM9900	IND	Review for continuing value
Libraries <u>MMS Reserve Request Sheets</u>	ADM9900	Active + 1 year	Destroy
Library <u>Study Carrel Registers</u>	ADM9910	Active	Destroy
Library <u>Subject Guides</u>	ADM9910	3 years	Destroy
Parking & Transportation <u>Bicycle Registration Forms</u>	ADM9900	1 year	Destroy



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Record series	IUC No.	Retain	Disposition
Parking & Transportation <u>Disabled Parking Permits</u>	ADM9900	1 year	Destroy
Parking & Transportation <u>Negative Service Indicators</u> (computer printout of individuals name, ID, citation number and total of fines due)	ADM9900	1 year	1 year in storage Destroy
Parking & Transportation <u>Parking Permit Applications</u>	ADM9900	1 year	Destroy
Parking & Transportation <u>Special Event Reservations</u> (includes special event reservations and guest decal requests)	ADM9900	1 year	Destroy
Parking & Transportation <u>Towing Records</u> (records of tows per month. Includes tow forms, release forms and payments)	ADM9900	1 year	Destroy
Parking & Transportation <u>Utility Charges – Parking Dept./Contractors</u> (calculations of utility charges to parking department, tenants of CSU buildings and contractors working during construction)	ADM9900	Active + 1 year after audit	Destroy
<u>Pending Award Files</u> (applications/proposals by faculty members in pending status, awaiting award/denial notification from potential sponsor)	ADM9900	2 years	Destroy
Police Department <u>Administrative Records</u> (routine records – daily bulletins, dispatch logs, dispatch audio logs, manpower logs, vehicle equipment inspection logs),	ADM9900	1 year	Destroy
Police Department <u>Daily Crime Logs</u>	ADM9900	7 years	Destroy
Police Department <u>Dispatch Logs</u> (records of request for service received by dispatcher)	ADM9900	60 days - unless needed for specific police criminal case)	Destroy
Police Department <u>Police Reports-Daily Activity</u>	ADM9900	1 year	Destroy
Police Department <u>Transportation Log - Students</u>	ADM9900	1 year	Destroy



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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
Police Department <u>Security Reports</u> (Notifications of Annual Security Report including distribution lists)	ADM9910	3 years from latest publication	Destroy
Property Control <u>Off Campus Use of University Equipment Approval Forms</u>	ADM9900	Active + 3 years	Destroy
<u>Proposals – Not Funded</u>	ADM9900	1 year	Destroy
<u>Research Grants Files – Not Awarded</u> (faculty applications and proposals for grants that were not funded)	ADM9900	1 year	Destroy
<u>Special Event Tickets</u> (unsold tickets)	ADM9900	3 months	Destroy
Student Employment <u>Student Employee Summary Report</u> (stipend list, updated social security numbers reports, 1040 hours report, termination reports, summer rehires, college work-study awards, changes chart of accounts, step increases, department summaries, CWS earnings report, time cards by sequence number)	ADM9900	1 year	Destroy
Academic Departments <u>Student Files - Faculty Maintained</u>	ADM9900	Discretionary	Destroy after student has graduated
<u>System Users Access Records</u> (electronic or paper records created to control or monitor individual access to a system for security purposes)	ADM9900	Until Obsolete	Destroy
<u>Surveillance Video/Tapes</u>	ADM9900	30 days Minimum	Destroy (retain only when they document operations, functions or other activities of University)
Testing Center <u>Test Administration Records</u>	ADM9900	6 months	Destroy
<u>User Logins</u>	ADM9900	180 days Minimum	Destroy
<u>Utility Problem Files</u> (correspondence with staff and utility companies concerning utility issues/problems)	ADM9900	10 years	Destroy



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Record series	IUC No.	Retain	Disposition
<u>Utility Reports – Annual Use/Cost</u> (reports of use/cost for each utility for campus per building)	ADM9900	5 years	Destroy
<u>Wolstein Center Reports</u>	ADM9900	Active + 2 years	Destroy
<u>Alumni Affairs</u> <u>Alumni Data</u>	ADM9910	IND	Review for continuing value
<u>Comprehensive Examinations</u>	ADM9910	Active + 2 years	Destroy
<u>Academic Departments</u> <u>Course Materials</u> (midterm examinations, quizzes, lab reports, term papers, electronic course files)	ADM9910	Active + 1 semester	Destroy
<u>Academic Departments</u> <u>Course Syllabi</u>	ADM9910	10 years	Destroy
<u>Employment Law Clinic</u> <u>Administrative Files of clients</u>	ADM9910	12 years	Destroy
<u>Distinguished Faculty/Staff Awards</u> (contains letters requesting nominations, nominations with vita, award letters, summary report, letters of regret, committee members, plaque information, CSU ID numbers, SOF)	ADM9910	Active + 5 years	Destroy Archive summary reports, award letters, letters of regret
<u>Faculty Senate</u> <u>Minutes</u>	ADM9910	IND	Faculty Senate storage Copy to Archives
<u>Academic Departments</u> <u>Final Examinations</u> (unless returned to student, retain 7 years those exams likely to bear upon a dispute)	ADM9910	Active + 1 semester	Spring semester finals retain until end of 4 th week of following fall semester
<u>Environmental Health & Safety</u> <u>Hazardous Materials Program Tests</u> (certifications expire after 1 year)	ADM9910	1 year	Destroy
<u>General Counsel</u> <u>Chronological Files- Attorneys</u>	ADM9910	5 years	Destroy
<u>Governance Files</u> <u>Subject Files</u> President, Vice Presidents, Deans, Directors, Chairs	ADM9910	5 years	Review for possible transfer to Archives
<u>Institutional Research</u> <u>Publications/Periodicals</u>	ADM9910	5 years	Confirm Archives has copy



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Record series	IUC No.	Retain	Disposition
<u>Laboratory Safety Agreements</u>	ADM9910	Active + 3 years	Destroy
<u>Lists/Directories</u> (includes mailing lists, directories, registers compiled by the university)	ADM9910	SUP	Destroy
<u>Merit Recognition Award – Faculty/Administrative Staff</u> (letters requesting nominations, nominations with vita, summary reports, award letters, letters of regret)	ADM9910	Active + 5 years	Destroy Archive summary reports, award letters, letters of regret
<u>Professional Leave Applications</u>	ADM9910	Active + 1 year if granted 1 year if not granted	Destroy
<u>Professional Publications, Theses and Dissertations</u> (maintained by faculty)	ADM9910	Permanent	One copy to library for reference
<u>Proposal Approvals – Thesis & Dissertations</u> (completed proposal approval forms)	ADM9910	6 years	Destroy
<u>Institutional Research Publications/Periodicals</u>	ADM9910	SUP	Archives
<u>Dramatic Arts Theater Productions</u> (programs, press releases, clippings, cast lists, posters, handouts, promotional materials, scripts, reviews, photos)	ADM9910	IND	Archives
<u>Thesis Proposal/Dissertation Forms</u> (forms giving permission to form a thesis committee)	ADM9910	Active + 6 years	Destroy
<u>University Governance Files –</u> (Files of minutes of committees, boards, governance groups documenting official actions of governing bodies)	ADM9910	3 years	Archives Review for continuing value
<u>Waivers – For Release of Liability</u>	ADM9910	4 years	Destroy
<u>Business Continuity Office Information Systems Disaster Preparedness and Recovery Plans</u> (records related to protection and re-establishment of data processing services, equipment and data, back-up files, in case of a disaster)	ADM9920	Active + 3 years	Archives



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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
<u>Co-Op Student Records</u> (includes resumes, copies of transcripts, course assignments, letters/correspondence, student reports and evaluations)	EDU1000	Active + 6 years Inactive when co-op complete	Destroy
<u>Credit by Examination Form</u> (credit by exams taken by students)	EDU1000	IND (minimum Active + 6 years)	Permanent - send to Archives
College of Education <u>Field Services -Placement Files</u> (includes letters of recommendation, student teaching evaluations, applications for student teaching)	EDU1000	Active + 10 years	Destroy
College of Education <u>University Supervisor Survey – Dean’s Office</u> (surveys of students for evaluation of university)	EDU1000	Active + 6 years 1 year if official copy verified in Field Services	Destroy
<u>Disabled Students Advising Records</u> Permanent (includes change of grade forms, faculty grade reports, transcript requests – other than student requested) Non-Permanent (records of students who matriculated whether or not they earned a degree. May include applications for admission or readmission, recommendation letters, placement test reports, and entrance examinations advanced placement records, transcripts, medical records, academic action notifications, applications for graduation, transfer credit evaluations, documents regarding progress)	EDU1000 EDU1010	IND Active + 3 years	Permanent Storage Destroy
<u>Faculty Grade Reports –</u> (Grade or Narrative as submitted to Register)	EDU1000	Active + 6 years	Permanent
<u>Grade Disputes</u> (includes grade change forms)	EDU1000	Active + 6 years	Permanent
<u>Graduate Student Petitions</u>	EDU1000	Active + 6 years	Destroy
<u>Program Assessment Materials</u>	EDU1000	Active + 6 years	permanent



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Record series	IUC No.	Retain	Disposition
<u>Program Evaluations</u>	EDU1000	Active + 6 years	Review for administrative value – retain summaries permanently
<u>Registrar’s Academic Records</u> (Record of academic work pursued).	EDU1000	IND	Permanent (may be sent to Archives)
<u>Registrar’s Change of Grade Forms</u> (update documents)	EDU1000	IND	Permanent (may be sent to Archives)
<u>Registrar’s Student Records – Academic Records</u> (record of academic work pursued, including grades, course evaluations, competency assessments, etc.)	EDU1000	IND	Permanent (may be sent to Archives) Maintained in electronic form
<u>Student Petitions</u> (report of academic standards committee, request for except hearing decisions to academic regulations)	EDU1000	Active + 6 years	Destroy
<u>Admissions Applicant Flow Data</u> (statistical information dealing with race, sex, religion, etc.)	EDU1010	6 years	Destroy
<u>Admissions Applicants who do Matriculate Acceptance Letters</u> (student specific correspondence relating to admission and enrollment at the university)	EDU1010	Active + 1 year	Destroy
<u>Admissions Applicants who do Matriculate Advanced Placement Records</u> (forms and records supporting consideration for advanced placement in course(s) where no credit is granted)	EDU1010	Active + 1 year	Destroy
<u>Admissions Applicants who do Matriculate Applications for Admission or Readmission</u> (forms requesting admission or readmission to the university)	EDU1010	Active + 1 year	Destroy



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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
Admissions Applicants who do Matriculate Correspondence (forms requesting admission or readmission to the university)	EDU1100	Active + 1 year	Destroy
Admissions Applicants who do Matriculate Letters of Recommendation	EDU1100	Active + 3 years	Destroy
Admissions Applicants Who Do Matriculate Personalized Recruitment Material	EDU1010	3 years	Destroy
Admissions Applicants who do Matriculate Transcripts, High School (documents from facilities in other countries; may be originals and difficult for the applicant to replace. Consider returning these to the applicant)	EDU1010	Active + 1 year	Destroy
Admissions Applicants who do Matriculate Transfer Credit Evaluations	EDU1010	Active + 1 year	Destroy
Admissions Applicants who do Matriculate Transcripts Other Institutions of Higher Learning (record of courses taken at other post-secondary institutions and documents supporting prior learning)	EDU1010	Active + 1 year	Destroy
Admissions Applicants who do not Matriculate Acceptance Letters (letters notifying student of acceptance or non-acceptance to the university)	EDU1100	Active + 3 years	Destroy
Admissions Applicants who do not Matriculate Advanced Placement Records (forms and records supporting consideration for advanced placement in course(s) where no credit is granted)	EDU1100	Active + 1 year	Destroy



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Record series	IUC No.	Retain	Disposition
Admissions Applicants who do not matriculate <u>Applications for Admission/ Readmission</u> ; , (did not enroll, file incomplete or denied)	EDU1100	Active + 3 years	Destroy
Admissions Applicants who do not Matriculate <u>Correspondence</u> (forms requesting admission or readmission to the university)	EDU1100	Active + 1 year	Destroy
Admissions Applicants who do not Matriculate <u>Entrance Examination & Placement Test Reports</u> (standardized test scores related to admission to the university and placement test scores)	EDU1100	Active + 1 year	Destroy
Admissions Applicants who do not Matriculate <u>Letters of Recommendation</u>	EDU1100	Active + 1 year	Destroy
Admissions Applicants Who do not Matriculate <u>Personalized Recruitment Material</u>	EDU1020	Active + 3 years	Destroy
Admissions Applicants who do not Matriculate <u>Residency Status Documents</u>	EDU1100	Active + 6 years	Destroy
Admissions Applicants who do not Matriculate <u>Transcripts, High School</u>	EUD1100	Active + 3 years	Destroy
Admissions Applicants who do not Matriculate <u>Transcripts – Other Institutions of Higher Learning</u>	EDU1010	Active + 1 year	Destroy
Admissions <u>Placement Records</u> (on campus recruiting schedules, credentials, recommendation letters, release forms, data sheet, employer data base, senior and alumni residence hall placement, registration forms, on campus recruiting, senior alumni resources)	EDU1010	Active + 1 year	Destroy



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Record series	IUC No.	Retain	Disposition
Alumni Affairs <u>Placement Records</u> (files on alumni used for career placement)	EDU1010	Active + 1 year	Destroy
Athletics <u>Athletic Student Files</u>	EDU1010	Active + 6 year	Destroy
Athletics <u>Grants In Aid Records</u>	EDU2000	Active + 6 years	Destroy
<u>Completion of Degree requirements, Student Notice</u>	EDU1010	Active + 6 years	Destroy
Counseling Center <u>Counseling Files</u>	EDU1010	Active + 7 years	Destroy
Academic Departments <u>Course Schedules</u>	EDU1010	IND	Review for permanent retention
<u>Course Schedule Changes</u> (add/drop)	EDU1010	Active + 1 year	Destroy
Disability Services <u>Student Files</u>	EDU1010	Active + 6 years	Destroy
Education Student Services Center <u>Student Files</u> (Completed teacher preparation, never applied for certification; academically dismissed undergraduate/post baccalaureate, master’s educational specialist, non-degree graduate)	EDU1010	IND	Permanent
Education Student Services Center <u>Student Files</u> (Provisional Master’s, Educational Specialist, potential Candidates Graduate Counseling, denied admissions Master’s and Education Specialist, Undergraduate, Post Baccalaureate and second area certification)	EDU1010	Active + 2 years Retain 7 years those likely to bear upon a dispute	Destroy
Education Student Services Center <u>Scholarship/Grant Information</u> (scholarship applications and information, program publications, award information, funding agency documentation, program statistics, rejection letters, committee meeting minutes, purchase requisitions for award)	EDU2000	IND	Permanent



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Record series	IUC No.	Retain	Disposition
<u>Certification/Licensure Records</u> (pertaining to Education Student Services Center)	EDU1010	Active + 2 years (inactive when superseded)	Destroy 8½ x 11 documents (3x5 cards permanent)
<u>Exam Reports – Praxis I & II</u> (score reports from the Educational Testing Service)	EDU1010	Active + 2 years (7 years for those that form basis of dispute)	Destroy
<u>Financial Aid</u> <u>Non U.S. Department of Education Funding</u> <u>National Guard Scholarship Rosters</u> (lists of students receiving Ohio National Guard scholarships)	EDU1010	Active + 1 year	Destroy – Review for historical value and possible transfer to Archives
<u>Financial Aid</u> <u>Non U.S. Department of Education Funding</u> <u>Ohio Instructional Grants Files</u> (record submitted by student for payment of fees, eventually sent to OBOR for payment)	EDU1010	Active + 1 year	Destroy – Review for historical value and possible transfer to Archives
<u>Financial Aid</u> <u>Scholarship/Fellowship Print-Outs</u>	EDU1010	Active	Destroy
<u>Financial Aid</u> <u>Student Files – Financial Aid Non Recipients</u> (students who did not receive aid or enter the university, copy of FAF)	EDU1010	1 year	Destroy
<u>Financial Aid</u> <u>Financial Aid Authorization Forms</u> (forms authorizing staff development, student fees, project 60, cross registration, and other miscellaneous financial aid)	EDU2000	Active + 6 years	Destroy
<u>Financial Aid</u> <u>Graduate Scholarships/ Assistantship Awards</u>	EDU2000	Active + 6 years	Destroy



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Record series	IUC No.	Retain	Disposition
Financial Aid <u>Guaranteed Student Loan Applications</u> (copy of student loan application, which is forwarded back to potential lending facility)	EDU2000	Active + 6 years	Destroy
Financial Aid <u>Loans (Emergency)</u> (Paperwork for students who apply and are approved for emergency loans. Original application)	EDU2000	Active + 6 years	Destroy
Financial Aid <u>Loan Disclosures</u> (Documentation sent from lenders regarding loan guaranty)	EDU2000	Active + 6 years	Destroy
Financial Aid Non U.S. Department of Education Funding <u>General Administrative Annual Interim Fiscal Operations Reports</u> (reports to federal government on expenditures for federal programs)	EDU2000	Active + 6 years	Review for continuing administrative or historical value and transfer to archives
Financial Aid Non U.S. Department of Education Funding <u>Ohio Bureau of Vocational Rehabilitation Grants Files</u>	EDU2000	Active + 6 years	Destroy
Financial Aid Non U.S. Department of Education Funding <u>Ohio Instructional Grants Rosters</u>	EDU2000	Active + 6 years	Destroy
Financial Aid Non U.S. Department of Education Funding <u>Student Files</u> (includes FAF’s need analysis reports, parental tax files, award letters, Statement of Educational Progress, guaranteed student loan applications, grants-in-aid documentation, health profession loan files, nursing loan files, scholarships, National Merit Scholarships, graduate assistantships, sponsored student accounts)	EDU2000	Active + 6 years	Destroy
Financial Aid <u>Outside Source Awards</u>	EDU2000	Active + 6 years	Destroy



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Record series	IUC No.	Retain	Disposition
Financial Aid U.S. Department of Education Funding Work Study Student Files (contains application, OPERS exemption form, and evaluations of students employed under work study program)	EDU2000	Active + 6 years If funding source is US Dept of Education, use	Destroy
Financial Aid U.S. Department of Education Funding General Administrative Annual Interim Fiscal Operations Reports (reports to federal government on expenditures for federal programs)	EDU2000	Active + 3 years	Destroy (review for historical value and possible archives transfer)
Financial Aid U.S. Department of Education Funding Federal Loan Check Registers (record of checks sent to students for National Direct Student Loans and Health Education Assistance Loans)	EDU2000	Active + 3 years	Destroy
Financial Aid U.S. Department of Education Funding Student Files (files on recipients, including FAF's, and FAF need analysis reports, parental tax files, draft registration compliance record, award letters, statement of educational progress, basic education opportunity grants, PELL files, guaranteed student loan applications, health profession loan files, graduate assistantships, grant in aid documentation, nursing loan files, scholarships, sponsored student accounts)	EDU2000	Active + 3 years	Destroy
Financial Aid Scholarship/Fellowship Print-Outs	EDU3010	Active	Destroy
Financial Aid/Student Employment Returned Student Loan Proceeds	EDU2000	Active + 6 years	Destroy
Financial Aid Student Employment Rosters (Third party related to student loans, disbursements, repayment, etc.)	EDU2000	Active + 6 years	Destroy



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Record series	IUC No.	Retain	Disposition
Financial Aid/Student Employment Sponsored Student Account Files (record of students sponsored by corporations and special scholarships.)	EDU2000	Active + 6 years	Destroy
General Counsel Non-Immigrant Worker Public Inspection Files (Includes labor condition application and supporting documentation specified in section 20 CFR Part 655 Subparts H & I)	EDU1010	1 year beyond the end of employment specified on the LCA	Destroy
General Counsel Requests - Student’s Written Consent for Records Disclosure	EDU1020	Active + 3 years	Destroy
Graduation Applications	EDU1010	Active + 1 year	Destroy
Graduation Authorizations (documents certifying completion of degree requirements)	EDU1010	Active + 1 year	Destroy
Health and Wellness Appointment Sheets (includes name, time, reason for visit and name of healthcare provider and diagnosis)	EDU1010	From Date of First Visit + 1 year	Destroy
Health and Wellness Prescription Log Book	EDU1010	From Date of First Visit + 1 year	Destroy
Health and Wellness Birth Control Log	EDU1010	From Date of First Visit + 1 year	Destroy
International Services & Programs Foreign Student Forms – I-20s and other forms.	EDU1010	Active + 3 years	Destroy
International Services & Programs H1B Investigation Files	EDU1010	LCA’s that expired during investigation retain 1 year after investigation ends; LCA’s that are valid during investigation retain 1 year after LCA expiration date	Destroy



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Record series	IUC No.	Retain	Disposition
International Services & Programs <u>Applications Awaiting Decisions</u>	EDU1010	Active + 2 years	Destroy
International Services <u>Transfer Credits-Study Abroad</u> (includes letters of credential evaluation)	EDU1010	Active + 2 years	Destroy
Law, College of <u>Student Files</u> (Official academic records, grades, course evaluations, competency assessments, change of grade forms, credit by examination, faculty grade reports)	EDU1010	Active + 6years	Review for historical value
Law, College of <u>Student Files – Non permanent</u> (records of students who matriculated whether or not they earned a degree, includes letters of recommendation, applications for admission/readmission, entrance examinations and placement test reports, transcripts, advanced placement records, medical records, academic action notifications, applications for graduation, documents regarding progress toward degree, transfer credit.	EDU1010	Active + 6 years	Destroy
Law, College of <u>Student Financial Aid Files</u> (files maintained in the Law college financial aid office, includes Stafford loan applications, institutional applications, verification worksheet, tax returns, etc. includes graduate, active, inactive students)	EDU2000	Active + 3 years	Destroy
Libraries <u>Library Student Files</u> (general files of library student assistants)	EDU1010	Active + 6 years	Destroy



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Record series	IUC No.	Retain	Disposition
Libraries <u>Library Statistics</u> (usage of periodicals, serials acquisitions, acquisitions/pre-orders, services and collections, reference, slide library, multimedia service, film service, material deposit, web statistics) <i>some statistics are coded into iii and compiled on demand</i>	EDU3000	IND (minimum Active + 5 years)	Review for possible transfer to archives
<u>Medical Records - Applicants who do Matriculate</u> (medical records related to application to the university)	EDU1010	Active + 1 year	Destroy
<u>Medical Records - Applicants who do not Matriculate</u>	EDU1010	1 year	Destroy
<u>Ohio Bureau of Criminal Identification & Investigation Authorization</u>	EDU1010	Active + 1 year	Destroy
Pass/Fail Request	EDU1010	Active + 1 year	Destroy
Registrar’s <u>Cross Registration</u>	EDU1010	Retain 1 year after audit or 3 years after end of term	Destroy
Registrar’s <u>Registration/Enrollment Forms</u>	EDU1015	Active + 3 years (retain 3 years after term)	Destroy
Registrar’s <u>Withdrawal Authorizations</u> (classes)	EDU1015	Active + 3 years	Destroy
Registrar <u>Student Records Transcript Requests</u> (other than student requested)	EDU1020	Active + 3 years	Destroy
<u>Student Advising, Tutoring Records</u>	EDU1010	Active + 3 years	Destroy
Academic Departments <u>Student Records</u> (student files maintained in college and department offices; includes actively enrolled students, students who have graduated, and students no longer actively enrolled)	EDU1010	Active + 6 years	Destroy



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Record	IUC No.	Retain	Disposition
<p>Academic Departments</p> <p><u>Student Records - Correspondence</u> (student specific correspondence- other than admissions)</p>	EDU1010	Active + 1 year	Destroy
<p>Academic Departments</p> <p><u>Student Records - Correspondence – No Response</u></p>	EDU1010	Active + 1 year	Destroy
<p>Academic Departments</p> <p><u>Student Records - Program Requirement Modification</u> (change of major forms; degree requirement waiver or substitution authorization)</p>	EDU1010	Active + 1 year	Destroy
<p>Academic Departments</p> <p><u>Student Records - Program Requirement Modification</u> (change of major forms; degree requirement waiver or substitution authorization)</p>	EDU1010	Active + 1 year	Destroy
<p>Teacher Education</p> <p><u>Student Files</u> (files maintained in department on enrolled students- includes client personal information, assessment scores, documentation for fee scale, grade information, includes students who have graduated, actively enrolled students and student who are no longer actively enrolled)</p>	EDU1010	Active + 6 years	Destroy (retain ESC records permanently)
<p><u>Test Scores</u></p>	EDU1010	Active + 1 year	Destroy
<p><u>Audit Authorizations</u> (approval forms to audit class)</p>	EDU1015	Active + 3 years	Destroy
<p>Continuing Education</p> <p><u>Student Records Continuing Education</u> (includes two types of records: students enrolled in special interest courses, and student enrolled in professional certification programs)</p>	EDU1015	Active + 3 years	Destroy
<p><u>Credit/No Credit Approvals</u></p>	EDU1015	Active + 3 years	Destroy (review for historical value)



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Record	IUC No.	Retain	Disposition
<u>Official Class Roster</u> (lists of students enrolled for individual classes)	EDU1015	Active + 3 years	Destroy (review for historical value)
<u>Student Records Veterans Administration Records and Correspondence</u>	EDU1020	Active + 3 years	Destroy
<u>Requests and Disclosures of Personally Identifiable Information</u>	EDU1020	Active + 3 years	Destroy
<u>Student Conduct Verifications</u>	EDU1030	Active + 3 years (inactive at end of semester)	Destroy
<u>Student Conduct Student Disciplinary Files Requests for Formal Hearings</u>	EDU1030	Active + 3 years	Destroy
<u>Student Conduct Student Disciplinary Files Written Decisions of Hearing Panels</u>	EDU1030	Active + 3 years	Destroy
<u>Student Conduct Student Statements Regarding Hearing Panel Decisions</u> (student statements on content of records regarding hearing panel decisions)	EDU1030	Active + 3 years	Destroy
<u>Student Waivers for Rights of Access To See Letters of Recommendation for Admission for Applicants who do Matriculate</u>	EDU1030	Active + 3 years	Destroy
<u>Honors College Admission Documents</u> (students who do not enroll, includes transcripts, etc.)	EDU1100	1 year	Destroy
<u>Development Donor Gift Files</u> (includes copies of checks, correspondence, selected individual donors, gift information, articles, biographies, corporation and foundation donors) See gifts definitions on page 2	EDU2000	IND Records of non-cash gifts retain during possession plus 4 years after possession is relinquished	Destroy
<u>Fund Raisers</u> (pertaining to Faculty/Staff Appeal, Uniting to Share Campaigns – includes contribution reports, accounting records, receipts, etc.)	EDU2000	Active + 6 years	Destroy



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Record	IUC No.	Retain	Disposition
Development Gift Files (gifts to institutions are divided into two classifications: current gifts and deferred gifts. A gift is considered current when the donors completely and irrevocably relinquish any interest they have in something, ex.: presenting a check, transferring real estate, or giving stock. A gift is considered deferred when the donors transfer property to an institution but retain use of the property for a specific period of time.)	EDU2000	Active + 6 years (current cash gifts do not need to be retained more than 7 years; records of non-cash gifts such as stock or real property should be retained during the time the institution has possession of gift plus at least 4 years after possession is relinquished)	Destroy
Financial Aid Graduate Scholarship/Assistant Awards	EDU2000	Active + 6 years	Destroy
Financial Aid Award Letters (summary of students’ financial aid each year; confirms acceptance or rejection)	EDU3000	Active	Destroy
Financial Aid Ohio Academic Scholarship Rosters - Non U.S. Department of Education Funding (lists of students receiving scholarships for current year)	EDU3000	Active	Destroy
Graduate Tuition Grant Services Agreement (contract between graduate students and various departments)	EDU2000	Active + 6 years	Destroy
Graduate Assistant Contracts and Homeland Security Forms 0037	EDU2000	Active + 6 years	Destroy
Merit Scholarships	EDU2000	Active + 6 years	Destroy
Nursing Loan Student Files (contains all documents relating to granting of loans, including correspondence, promissory note, confidential information sheet, etc.)	EDU2000	Active + 6 years (use EDU2100), Active + 3 years if funding source is US Dept. of Education)	Destroy



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Record	IUC No.	Retain	Disposition
Scholar Loan Database	EDU2000	EDU2000	Destroy
Academic Affairs Workforce Analysis (raw data, institutional costs, salary studies, faculty data, teaching loads)	EDU3000	IND	Destroy
Board of Trustees Controlling Board Requests	EDU3000	IND (minimum Active + 5 years)	Archives
Catalogs, University (official course bulletins of the university)	EDU3000	IND (minimum Active + 5 years)	Permanent - send to Archives
Class Schedules (schedule of classes offered each term by the university)	EDU3000	IND (minimum Active + 5 years)	Permanent - send to Archives
Academic Affairs Course Inventory	EDU3000	Active + 6 years	Destroy
Curricular Change Forms (used to request course addition, course deletion, change in existing course, change in program/degree requirements)	EDU3000	IND (minimum Active + 5 years)	Archives
Senior V.P./College Dean Curriculum Development Files (files documenting approval of new programs and degrees)	EDU3000	IND (minimum Active + 6 years)	Permanent - send to Archives
Grade Statistics	EDU3000	IND (when no longer referenced for current use)	Permanent - send to Archives Electronic Form
Graduation Lists (Commencement Programs)	EDU3000	IND (minimum Active + 5 years)	Permanent (may be sent to Archives)
Housing Policy Research Program Records (data, statistics, projects)	EDU3000	Active + 6 years	Archives
IPEDS Report (integrated post-secondary education data system)	EDU3000	IND (minimum Active + 5 years)	Permanent (may be sent to Archives)



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Record	IUC No.	Retain	Disposition
Institutional Research Peer Data Files	EDU3000	Active + 10 years	Archives
OBOR Report (Ohio Board of Regent)	EDU3000	IND (minimum Active + 5 years)	Review for value
Planning, Assessment & Information Resources Statistics - Degrees	EDU3000	IND (minimum Active + 5 years)	Permanent (may be sent to Archives)
Planning, Assessment & Information Resources Statistics - Enrollment	EDU3000	IND (minimum Active + 5 years)	Permanent (may be sent to Archives)
Planning, Assessment & Information Resources Statistics - Racial/Ethnic	EDU3000	IND (minimum Active + 5 years)	Permanent (may be sent to Archives)
Program Development Proposals	EDU3000	IND (minimum Active + 5 years)	Archives
Reports/Surveys (contains reports to agencies regarding student activity, surveys – e.g. Title II report card, teacher supply, employment survey, AACTE/NCATE report)	EDU3000	IND (minimum Active + 5 years)	Archives
Treasury Services Tuition and Fee Schedule (list of University fee charges for each term)	EDU3000	IND (minimum Active + 5 years)	Permanent (may be sent to Archives)



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Record	IUC No.	Retain	Disposition
<u>Environmental Health & Safety</u> Environmental Monitoring/Safety Records (records pertaining to environmental assessments, safety audits, OSHA compliance, EPA compliance, hazardous waste manifests, incident response reports, monitoring records, training records)	ENV1000	IND	Review for permanent retention
<u>Environmental Health & Safety</u> Construction Projects Environmental Impact Assessment (used to determine potential environmental concerns existing at site prior to demolition and construction)	ENV1010	IND	Destroy Review for historical value
<u>Environmental Health & Safety</u> Environmentally Hazardous Substances (records related to the use, manufacture and testing of hazardous substances)	ENV2000	LOB + 6 years (life of building)	Review for Value
<u>Facilities</u> Pesticide Application residence (pesticide on campus landscapes)	ENV2010	IND	Destroy
<u>Environmental Health & Safety</u> Radioactive Materials Transportation Records (DOT transfer record; authorization for shipment of RAM; and off-site transfers)	ENV2010	IND	Permanent (may be sent to Archives)



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Record	IUC No.	Retain	Disposition
<u>Bank Deposits</u> (record of deposits in banking institutions, includes batch deposits and control sheets)	FIN1000	4 years	Destroy
<u>Bank Reconciliations</u> (explanation of differences between bank statement balance and actual balance)	FIN1000	4 years	Destroy
<u>Bank Statements</u> (periodic statement of bank balances)	FIN1000	4 years	Destroy
<u>CSU Foundation</u> <u>CSU Foundation Documents</u>	FIN1000	Active + 6 years	Destroy
<u>Controller’s</u> <u>Check Runs</u> (checks issued from student’s accounts, includes account history, check register, check edit, list of checks to be voided or refunded)	FIN1000	4 years	Destroy
<u>Controller’s</u> <u>Canceled Checks</u>	FIN1000	4 years	Destroy
<u>Controller’s</u> <u>Check Register/Log</u> (handwritten listing of vendor, amount, date and check number-all cash disbursements paid by check)	FIN1000	IND (Minimum 4 years)	Destroy
<u>Controller’s</u> <u>Annual Budget Books</u> (originals)	FIN2000	Active + 1 year	Archives
<u>Controller</u> <u>Federal Refund Adjustments</u> (refund adjustments to students accounts following Federal refund and ProRata regulations and Title IV requirements)	FIN7000	4 years	Destroy
<u>Controller</u> <u>Financial Reports – Annual</u> (consolidated year-end report of financial situation showing assets and liabilities- may include audit report)	FIN7000	4 years	Archives
<u>Controller</u> <u>Financial Reports Submitted to</u> <u>Government Agencies</u>	FIN7000	4 years	Archives
<u>Controller’s</u> <u>Capital Funded Purchase Orders</u>	FIN8010	10 years	Destroy



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Record	IUC No.	Retain	Disposition
Controller’s Minority Vendors – Orders Awarded (computer printout from IS&T showing purchase orders issued to vendors flagged a MDE’s in our vendor file – monthly)	FIN8010	Active + 5 years	Destroy
Payroll Payroll Checks (checks paid employees for services performed)	FIN1000	4 years	Destroy
Parking Reconciliation Records (record of daily tickets issued and returned and funds balance)	FIN1000	4 years	Destroy
Parking Open Voucher Lists (list of tickets in collection)	FIN6000	4 years	Destroy
Parking Tickets Unpaid	FIN6000	1 year	Destroy
Capital Planning – Architect’s State Budget and Management Monthly Reports on Capital Funds (reports of monthly activity by capital appropriation fund, open encumbrance reports and State warrant (checks issued) reports)	FIN1000	Active + 6 years	Destroy
Capital Planning-Architect’s Capital Funded Equipment Cards (records of capital funded purchases of equipment grouped by capital project numbers)	FIN8010	Active + 5 years	Destroy
Budget & Analysis Office Budget Institutional (final, approved, yearly budget for university, usually in printed form)	FIN2000	Active + 1 year	Destroy – Review for historical value and transfer to Archives
Budget & Analysis Office Budget Planning Documents (budget requests, including program plans for coming year, usually by cost center)	FIN2000	Active + 1 year	Destroy – Review for historical value and transfer to Archives



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Record	IUC No.	Retain	Disposition
Campus Support <u>Business Plans</u> (includes contract summaries, facilities description of business, financial statements, marketing plan, capital spending plan)	FIN2000	Active + 1 year	Archives
<u>Utilities Budget – Requests/Calculations</u>	FIN2000	4 years	Destroy
<u>Endowment Fund Reports</u> (Annual-Periodic)	FIN3000	Active + 6 years	Archives Destroy periodic
<u>Bond Registers</u>	FIN5000	Active + 6 years	Destroy
<u>Bad Debt Actions</u> (overdue accounts, such as loans, payments for services rendered, parking tickets, library fines)	FIN6000	4 years	Destroy
<u>Delinquent Account Reports</u>	FIN6000	4 years	Destroy
Treasury Services/General Counsel <u>Bankruptcies</u>	FIN6000	7 years	Destroy
<u>Financial Statements Submitted to Government Agencies</u> (report and background information)	FIN7000	4 years	Destroy
<u>Audit Report – External</u>	FIN7010	4 years	Destroy
Education Student Services Center <u>Cost Accounting Files</u> (invoices for services rendered)	FIN7010	4 years	Destroy
Purchasing <u>Bids – Rejected (Requests for proposals) -</u> for purchases/services	FIN8000	3 years	Destroy
Purchasing <u>Bids Accepted</u> Requests for Proposals (for purchases)	FIN8010	Active + 5 years	Destroy
<u>IUC Purchasing Group Contract Bids</u> (bids issued by CSU on behalf of the IUCPG for specific commodities)	FIN8010	Active + 5 years	Destroy
<u>Purchase Orders</u>	FIN8010	Active + 5 years	Destroy
All Departments/Offices <u>Delivery Slips</u> (documents sent with purchased goods indicating item(s) shipped)	FIN8020	3 years	Destroy



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Record	IUC No.	Retain	Disposition
<p>Graduate Studies/Research <u>Analysis Reports Files</u> (contains summaries of grant activity by department, college, CSU Foundation and university)</p>	LEG2000	IND	Archives
<p>General Counsel <u>Contacts/Agreements – General</u> (records related to obligations under contracts, leases, and other agreements between the University and outside parties; includes contracts for services, purchases and sales, transportation, property and construction, exchange of property, leases, etc.; includes government contracts and grants and records required to be kept until government audit)</p>	LEG2000	Active + 6 years	Destroy (copy of fully executed contract should be on file in general counsel’s office, general counsel maintains 15 years)
<p>General Counsel <u>Land and Building Records</u> (records documenting purchases, sales or improvements)</p>	LEG2000	Active + 6 years	Archives
<p>General Counsel <u>Memorandums of Understanding (MOU)</u></p>	LEG2000	Active + 5 years	Destroy
<p>General Counsel <u>Real Estate Records</u> (records documenting real property purchased , purchase agreements, appraisals, or leased by the university, documents of purchase of land-deeds)</p>	LEG2000	Active + 5 years	The original deeds are maintained by the Auditor of State
<p>General Counsel <u>Contracts – Affiliation Agreements</u> (records related to obligations under contracts, leases and other agreements between the university and outside parties. Includes contracts for services, purchases and sales, transportation, leases, property, etc. Includes government contracts and grants and records required to be kept until government audit)</p>	LEG2000	Active + 5 years	Destroy General Counsel maintain for 15 years fully executed copies



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Record	IUC No.	Retain	Disposition
General Counsel <u>Legal Claims and Litigation</u> (records related to threatened or actual litigation or government investigation, include pleadings, discovery, attorney work products, transcripts, exhibits, final judgments and investigative reports, subpoenas, court orders and legal billings, legal compliance)	LEG4000	Active + 6 years Exception – retain indefinitely complaints and final dispositions	Destroy
General Counsel <u>Employment - Alien Certification Files (Immigration)</u> (records of employee requests made to the Department of Homeland Security U.S. Citizenship & Immigration Services for work certification. In addition to certification, the files include transcripts, letters of reference, resume and other pertinent documentation.)	LEG5000	6 years	Destroy
General Counsel <u>Ohio Civil Rights Commission Report (annual report required by OCRC – includes work papers</u>	LEG5000	6 years	Destroy
General Counsel <u>Legal Opinions/Legal Projects</u> (records documenting specific legal advice resulting from legal projects)	LEG6010	IND (Min Active + 10 years)	Review yearly for value – archive as appropriate
General Counsel <u>Copyright Property Disclosure Files</u>	LEG7000	Active + 6 years	Archives
General Counsel <u>Patent/Intellectual Property Disclosure Files)</u>	LEG7000	Active + 6 years	Archives
General Counsel <u>Legal – General</u> (Records related to legal activities not covered elsewhere)	LEG9900	Active + 7 years (from end of matter)	Destroy (attorney decides which to retain for future reference - Archive)
General Counsel <u>Public Records Request Files</u>	LEG9900	3 years from date request processed	Destroy



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Record	IUC No.	Retain	Disposition
Graduate Studies/Research Analysis Reports Files	LEG2000	IND	Archives
Human Resources <u>Collective Bargaining Agreements</u>	LEG2000	Active + 5 years	Review for continued value and potential transfer to archives
Human Resources <u>Disciplinary Files</u>	LEG4000	Active + 6 years	Destroy
Human Resources <u>Unemployment Compensation Documentation</u> (consolidated file listing all employees: classified, contract and faculty, for whom an unemployment claims has been filed)	LEG4000	Active + 6 years	Destroy
Human Resources <u>Staff Grievance Files</u> (files containing information used during a grievance against the University)	LEG4000	Active + 6 years	Destroy
Human Resources <u>Classified Staff Report - Categorical Summary</u> (listing of civil service employees categorized by race and sex)	LEG5000	6 years	Review for value and possible transfer to archives
Human Resources <u>Position Applicant Files</u> (records of affirmative action procedures followed for university or college position openings. Files divided into faculty, contract and classified staff headings. Classified staff portion is comprised of statistical data sent to Affirmative Action Office by HRD)	LEG5000	6 years	Destroy
Human Resources <u>Public Employees Retirement System Files- Staff</u>	LEG5000	6 years	Destroy
Incident Reports	LEG4000	Active + 6 years	Destroy
<u>Lease Agreements</u> (paperwork concerning leased equipment and vehicles)	LEG2000	Active + 6 years	Destroy



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Record	IUC No.	Retain	Disposition
<u>LINK Program Student Files</u> (files pertaining to the LINK program; contains student, mentor, or alumni and corporate information and events, includes students who have graduated, actively enrolled, chronological files, banquet files, summer prep files and advisor files)	LEG2000	Active + 5 years	Destroy
<u>Proposals – Funded/Pending</u> (includes financial records)	LEG2000	Active + 4 years	Archives
<u>VP for Research</u> <u>Animal Research Facility - Technical Activities Records</u> - (includes records for sanitizing facilities where research animals are kept)	LEG2000	Active + 3 years	Destroy
<u>VP for Research</u> <u>Animal Research Protocols</u>	LEG2000	Active + 3 years	Destroy
<u>VP for Research</u> <u>Research Files</u> (active and inactive approved requests to use human subjects in a research project. Includes request forms and attached protocols for chair/board review; includes animal subjects, research challenge program files and institutional animal care and use committee files)	LEG2000	Active + 6 years	Archives
<u>VP for Research</u> <u>Research Grants Files – Awarded</u> (files containing proposal, budgets, accounting information on grants received by faculty members from federal and state agencies and private foundations)	LEG2000	Active + 4 years	Review for administrative and historical value and potential transfer to archives
<u>VP for Research</u> <u>University Patent Review Committee Activity Files</u> (contains minutes, member information, correspondence, recommendations, reports)	LEG7000	Active + 6 years	Archives
<u>Facilities Management</u> <u>Utility Rates/Contracts</u> (rate schedules for each utility including current and past rates, latest contracts for electric and steam)	LEG2000	IND (minimum active + 5 years)	Review for value to determine destruction – operational need



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Record	IUC No.	Retain	Disposition
Facilities Management Residence Halls HUD Reports (annual reports concerning operations of residence halls filed with the federal government)	LEG5000	6 years	Review for continued value and possible transfer to archives
Facilities Management Elevator Certificates (inspections and safety tests)	LEG5020	Active + 3 years	Destroy
Facilities Management Certificate of Occupancy (upon completion of building projects, building certified safe for occupancy – includes permits, licenses)	LEG5020	Active + 3 years	Destroy
Capital Planning - Architects Asbestos Abatement Requests for asbestos abatement, completion dates, and materials used)	LEG3010	IND	Archives
Capital Planning-Architects Testing Reports – Construction (geotechnical and material testing reports to insure strength of materials, compaction and construction acceptability)	LEG5000	Active + 6 years	Permanent
Environmental Health & Safety Insurance Claims	LEG3010	IND	IND
Pre-School Program Children’s Files (includes screening evaluation forms, contracts, parental and developmental information, reports from outside agencies, health records from physicians, and information from social services coordinator)	LEG3010	IND	Retain until children reach majority + 10 years
Accident/Injury Reports (reports on injured persons)	LEG4000	Active + 6 years	Destroy
Complaint Files (professional misconduct assertions and allegations)	LEG4000	Active + 6 years	Destroy
Employment Law Clinic Legal Clinic Civil Section Files (records related to client’s civil court action cases. Includes transcripts, attorney/student work products, correspondence, pleadings, final judgments, discovery, and exhibits)	LEG4000	Active + 6 years	Destroy Retain indefinitely complaints and final dispositions



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Record	IUC No.	Retain	Disposition
<p><u>Employment Law Clinic</u> Student Work Product Files (student work products includes client memos, letters, student time records)</p>	LEG4000	Active + 6 years	Destroy
<p>Grievance Files – Academic (documenting grievances of students against faculty members)</p>	LEG4000	Active + 6 years	Archives
<p><u>Law Legal Clinic</u> Closed Files ELC (odd closed cases of legal clinic, includes client’s correspondence, pleadings, discovery, attorney/student work products, transcripts, exhibits, final settlements and judgments)</p>	LEG4000	6 years	Destroy Review yearly for continuing value – retain indefinitely complaints and final dispositions
<p><u>Law Legal Clinic</u> Computer Case Files (computer generated records related to clinic clients. Includes but not limited to correspondence, pleadings, discovery, attorney/student work products, transcripts, exhibits and final judgments/agreements)</p>	LEG4000	Active + 6 years	Destroy Retain indefinitely complaints and final dispositions
<p><u>Law Legal Clinic</u> Fair Employment Practices Client Files (ELC - closed cases of FEPC, record of discrimination cases, includes correspondence, pleadings, discovery, attorney/student work products, transcripts, exhibits and final settlements/judgments)</p>	LEG4000	Active + 6 years	Destroy
<p><u>Law Legal Clinic</u> Legal Clinic Criminal Section Files (records related to client’s criminal cases, includes correspondence, pleadings, discovery, attorney/student work products, transcripts, exhibits and final judgments)</p>	LEG4000	Active + 6 years	Destroy (Retain indefinitely complaints and final dispositions)
<p><u>Law Legal Clinic</u> Women’s Law Fund Cases (cases financially supported by Women’s Law Fund; includes pleadings, transcripts, attorney/student work products, discovery, correspondence, exhibits and final judgments)</p>	LEG4000	Active + 6 years	Destroy Retain complaints and final dispositions



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Record	IUC No.	Retain	Disposition
Police Department <u>Crime Reports</u>	LEG4000	Active + 6 years	Destroy
Police Department <u>Police Reports – Accidents</u> (reports created by university police for traffic accidents that occur on campus)	LEG4000	Active + 6 years	Destroy
Police Department <u>Police Reports – Arrests</u> (report of arrest, criminal citation, or uniform traffic citation issued to offender)	LEG4000	Active + 6 years	Destroy
Police Department <u>Police Reports – Crime</u> (reports created by university police on campus criminal activity)	LEG4000	Active + 6 years	Review for continued value and possible transfer to archives
Police Department <u>Police Reports</u> (reports of incidents or requests for service to include the officer’s actions, referrals, and subsequent investigation)	LEG4000	Active + 6 years	Destroy
Police Department <u>Transportation Logs – Injury/Ill Person</u> (reports created by university police on ill or injured persons transported to local hospitals from campus)	LEG4000	Active + 6 years	Destroy
Police Department <u>Police Reports Campus Security Act and uniform Crime</u> (reports produced in compliance with federal programs)	LEG5000	6 years	Review for continuing value and possible transfer to archives
Public Safety/Marketing <u>Public safety Notices/Campus Alerts/Campus Safety Alerts/Clery Warnings</u>	LEG4000	Active + 6 years	Destroy or review for value - Archives
Student Life Student Conduct <u>Academic Grievance Files</u> (Documents of student grievances against faculty members)	LEG4000	Active + 6 years	Destroy
Student Life Student Conduct <u>Student Disciplinary Files</u> (files maintained by student affairs on students who have been accused of disciplinary violations)	LEG4000	Active + 6 years	Destroy



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Record	IUC No.	Retain	Disposition
Student Life Student Conduct <u>Student Disciplinary Files</u> <u>Academic Action Notifications</u> (communications notifying students of dismissal, academic probation, etc.)	LEG4000	Active + 56year	Destroy
Admissions Applicants who do not Matriculate <u>Residency Status Documents</u> (documents supporting determination of legal domicile (residency))	LEG5000	6 years	Destroy
Environmental Health & Safety <u>Environmental Impact Assessment – Construction Projects</u> (used to determine potential environmental concerns existing at site prior to demolition and construction)	LEG5000	Life of building + 6 years	Destroy
Financial Aid <u>Vets 100 Report</u> (annual report required by the Federal government)	LEG5000	6 years	Destroy
Institutional Equity <u>Affirmative Action Plans</u> (procedures and regulations to be followed, workforce analysis, goals, timetables, statistics)	LEG5000	6 years (inactive when superseded)	Destroy
Institutional Equity <u>Analysis EEO/Affirmative Action</u>	LEG5000	6 years	Destroy
Institutional Equity <u>Application application files Data Files</u>	LEG5000	6 years	Destroy
Institutional Equity <u>Complaint Files</u> (Grievances filed based on equal opportunity and affirmative action regulations)	LEG5000	6 years	Destroy
Institutional Equity <u>EE-06 Report [EEOC]</u> (annual report required by Federal Government on race, sex, salary, tenure, etc. for different groups of employees)	LEG5000	6 years	Destroy
Institutional Equity <u>EEO/Affirmative Action Analysis</u>	LEG5000	6 years	Destroy



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Record	Retain	Retain	Disposition
<u>Institutional Equity</u> <u>Position Applicant Files</u> (Record of affirmative actions followed for college or University position openings. Files divided into faculty, classified, and contract staff.)	LEG5000	6 years	Destroy
<u>Payroll</u> <u>Employment Forms 1099</u> (federal form used to report salaries, wages, and tips of temporary employees)	LEG5000	6 years	Destroy
<u>Payroll</u> <u>Employment Forms: W-2</u> (Federal form reporting salaries, wages, and tips for each employee to the IRS)	LEG5000	6 years	Destroy
<u>Payroll</u> <u>Payments Related to W-2 Forms</u> (Federal, State, City Unemployment and Workers Compensation payment records, net deposit records)	LEG5000	6 years	Destroy
<u>Payroll</u> <u>W-2 Forms</u> (Federal IRS form reporting employees’ salaries and wages)	LEG5000	6 years	Destroy
<u>Payroll</u> <u>Garnishment Files</u> (related to attachment of property to satisfy a creditor. Court orders, pertinent employee data, computation data, employee acknowledgement forms, IRS notices and correspondence)	LEG5030	Active + 3 years	Destroy
<u>Residency Approval</u> (papers indicating student’s new residency status, includes permanent residency students)	LEG5000	6 years	Destroy
<u>Residency Review</u> (students who have questionable residency status for the purpose of tuition and fees)	LEG5000	6 years	Destroy



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Record	IUC No.	Retain	Disposition
Controller Taxes	LEG5010	10 years	Destroy
Parking Parking Tax Remittance Records (documentation of city parking tax)	LEG5010	6 years	Destroy
Environmental Health & Safety Radiation Safety Committee/Infectious environmental (contains licenses, registration certificates, site use permits, training documents, member information, correspondence NIH and Ohio EPA regulations, RAM use cards, etc).	LEG5020	Active + 3 years	Destroy
International Services Foreign Student Forms – Applicants who do not Matriculate (I-9 and other forms. Since many items included in foreign student records are to be retained for at least 5 years, it is recommended that immigration and naturalization service documentation also be retained 5 years)	LEG5040	Active + 3 years	Destroy
Tech Transfer Patent/Intellectual Property Disclosure Files (private, State and Federal organizations policies concerning copyright materials and other intellectual properties including disclosure agreements and correspondence)	LEG7000	Active + 6 years	Archives
Tech Transfer/General Counsel Trademark Registrations	LEG7000	Active + 6 years	Review for administrative value for possible transfer to archives
Compliance Ohio Legislative Service Commission Rules (codified university rules filed with the secretary of State; table of contents’ manuals’ correspondence-Ohio Revised Code)	LEG9900	IND (determined by board secretary)	Board of Trustees Storage



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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record	IUC No.	Retain	Disposition
Art Gallery Show Posters	MAR1000	5 years	Archive
Athletics <u>Recruiting Material</u> (includes phone logs, scouting services information, photos, posters, videos, publications, maps)	MAR1000	6 years	Review for continuing historical value and potential transfer to archives
Marketing <u>Publicity Advertising</u>	MAR1000	5 years	Review for continuing historical value and potential transfer to archives
Marketing <u>Publicity View books</u> (document utilized for recruitment)	MAR1000	5 years	Review for historical value and potential transfer to archives
Marketing Publicity <u>Recruitment Materials</u> (advertisements, publications, posters, videos, etc. used to recruit students)	MAR1000	5 years	Review for continuing historical value and potential transfer to archives



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Record	IUC No.	Retain	Disposition
Human Resources <u>State Classification Files - Classified Staff</u> (lists of classification by pay range as directed by the State Department of Administrative Services)	MIS1010	SUP	Destroy
IS&T Information Systems <u>Help Desk Logs and Reports</u> (records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes)	MIS1000	1 year	Destroy
IS&T Information Systems <u>Computer Run Scheduling Records</u> (records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run)	MIS1010	SUP	Destroy
IS&T Information Systems <u>Computer Usage Files</u> (electronic files or automated logs created to monitor computer system usage including but not limited to log in files, system usage files, data entry logs, and records of individual computer program usage)	MIS1010	SUP	Destroy
IS&T Information Systems <u>Tape Library Control Records</u> (records used to control disposition of magnetic media in a tape library)	MIS1010	SUP	Destroy



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Record	IUC No.	Retain	Disposition
<u>Miscellaneous</u> (convenience copies, reports, notes, drafts, extra copies, duplicates, anonymous, unsigned and/or unsolicited written or electronic materials and other records which need only be reviewed for a short period; informal or temporary messages including voice mail)	MIS1000	Transitory - retain until no longer of administrative value No certificate of destruction required for this series	Destroy
<u>Miscellaneous – Special Projects</u> (records related to special projects that do not fall into any other category)	MIS2000	Active + 1 year	Destroy



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Record	IUC No.	Retain	Disposition
Human Resources <u>Benefit Plans</u> (health care enrollment information, COBRA, eligibility updates, disbursement orders, change reports, reconciliations, vendor plans, coverage changes, green bar reports, premiums, disability and life, 403(b)and ARP)	PER1010	Active + 6 years	Destroy Review for administrative value
Human Resources <u>Benefits Report –Employee</u> (annual/quarterly spreadsheets and reports)	PER1010	Active + 6 years	Destroy
Human Resources <u>Student Fee Authorizations</u> Employee benefits for spouse and dependents)	PER1010	Active + 6 years	Destroy
Human Resources <u>Benefit Records – Contributions/Benefits Provided</u> (green bar reports – insurance, COBRA, disability, enrollments, adjustments, applications, claims, beneficiary designations, financial settlements, ASO insured contracts , 5500i plan documents, certificate of coverage, FMLA, ARP)	PER1020	Active + 6 years (maintain deceased records and any contracts for 10 years)	Destroy
Human Resources <u>PERS/STRS Information</u>	PER1040	Active + 6 years	Destroy
Human Resources <u>Personnel Files – Staff</u>	PER1040	Active + 6 years	Destroy
Human Resources <u>Public Employees Retirement System Log – Classified Staff</u> (record of university classified employees, their address and date of retirement)	PER1040	Active + 6 years	Destroy
Human Resources <u>Public Employees Retirement System Log – Staff</u> (record of university professional employees and their date of retirement and address)	PER1040	Active + 6 years	Destroy
Human Resources <u>Canceled Position Files</u>	PER2000	3 years	Destroy
Human Resources <u>Classified Staff Applicant Card Files</u>	PER2000	3 years	Destroy



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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record	IUC No.	Retain	Disposition
Human Resources <u>Classified Staff Application Files</u> (includes application form, resume, test results, referral and interview data)	PER2000	3 years	Destroy
Human Resources <u>Job Descriptions</u>	PER2000	3 years after superseded or discontinued	Destroy
Human Resources <u>Position Descriptions General</u>	PER2000	3 years after being superseded	Destroy
Human Resources <u>Position Vacancy Announcements</u> (job descriptions for each university or college position posted)	PER2000	3 years	Destroy
Human Resources <u>Selection Files</u>	PER2000	Active + 6 years	Destroy
Human Resources <u>Personnel Files – Staff</u> (employment record maintained for full-time and part-time university contract employees. Files can contain position descriptions, applications, letters of appointment or change, personnel data, notice of salary rate, copies of birth certificate, annual contacts, performance evaluations, previous state service forms, payroll forms, social security card, letters of commendation or reprimand, PERS forms, reclassification notices, publications, evidence of continuing education, transfers, leave of absence requests, vacation and sick leave reports, resignations, terminations)	PER3000	Active + 6 years	Review or continuing value
Human Resources/Student Employment <u>I-9 Forms</u>	PER3000	Active + 6 years	Destroy
Human Resources <u>Classified Staff Report Suspension Files</u> (record of suspended university employees including name, classification, department, reason for suspension and duration of suspension, pertinent supporting documentation)	PER3010	5 years	Destroy



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Record	IUC No.	Retain	Disposition
Human Resources <u>Layoff Documentation - Classified Staff</u> (file contains printouts, rosters, and correspondence documenting layoff of university employees, pertinent employee data, date of hire, classification, department, and retention points (performance) are included)	PER3010	5 years	Destroy
Human Resources <u>Performance Evaluation – Classified Staff</u> (contains annual printouts and log books)	PER3010	5 years	Destroy
Human Resources <u>Performance Evaluation – Classified Staff Reclassification Files</u> (record of university employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation)	PER3010	5 years	Destroy
Human Resources <u>Performance Evaluation – Staff Reclassification Files</u> (record of university employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation)	PER3010	5 years	Destroy
Human Resources <u>Summer Employment Files</u> (record of employees with alternate summer job responsibilities)	PER3010	Active + 6 years	Destroy
Human Resources <u>Worker’s Compensation Files</u> (Employment, Health and Safety, Illness/Accident)	PER4020	Active + 15 years	Destroy files where statute of limitations has passed – (verify with attorney)



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Record	IUC No.	Retain	Disposition
Human Resources <u>Training Documentation Classified Staff</u> <u>On-the-Job Training Records</u> (complete training records for individuals seeking classified positions)	PER5000	Active + 3 years	Destroy
Human Resources <u>Classified Staff Report</u> <u>Surveys, Wage and Fringe Benefit</u> (surveys conducted by university with area organizations in an effort to acquire comparative data regarding wage and fringe benefits programs)	PER9900	3 years	Destroy
Human Resources <u>Lay off Files</u>	PER9900	3 years	Destroy
<u>Graduate Assistant Applications</u>	PER2000	3 years	Destroy
Payroll <u>Employment Forms W-4</u> (forms completed by employee showing federal withholding exemptions)	PER1030	Active + 6 years	Destroy
Payroll <u>Non-resident Alien Tax exemption Forms</u> (W-4, State withholding forms, Country exemption forms, W8-BEN, 8233, I-20, Social Security card, passport copies)	PER1030	Active + 6 years	Destroy
Payroll <u>Registers</u> (W-2 edits, Y-T-Date financial controls, fringe charges reports, gross payroll listings, payroll registers, PERS payroll registers)	PER1040	Active + 6 years	Destroy
Payroll <u>Payroll Records</u> (PERS exemptions, correspondence and reports, STRS reports, statements, memberships and applications)	PER6000	Active + 5 years	Destroy
Payroll <u>Time Cards</u> (record of time worked by employees)	PER6000	5 years	Destroy



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Record	IUC No.	Retain	Disposition
Treasury Services Staff Development Forms	PER1010	Active + 6 years	Destroy
Contoller’s W-9 Taxpayer Information Form	PER1030	Active + 6 years	Review for value
Institutional Equity Selection Criteria Form – Classified Staff (forms providing explanations as to why person was hired or not hired)	PER2000	Active + 6 years	Destroy
Personnel Requisitions (departmental requests placed whenever a position within the department becomes vacant)	PER2000	6 years	Destroy
Provost/Senior Vice President Declination File-Faculty (files concerning phone calls and letters of faculty who turned down positions)	PER2000	6 years	Destroy
Recruitment/Search Files (includes search committee files, which are maintained by the committee chair)	PER2000	6 years	Destroy
Search Committee Chair Employment Faculty Search Committee (records of individuals who applied for positions for which a committee was formed.)	PER2000	6 years	Destroy
Search Committee Chair Faculty Application Files – Non Hires	PER2000	6 years	Destroy
Student Employment Employment Files – Students (includes authorization forms, graduate assistants)	PER3000	Active + 6 years	Destroy
Faculty Service/Activity Reports (FAAR’s) (records for the academic year and each term listing teaching and advisory assignments, research, administrative duties and public service)	PER3000	Active + 6 years	Review for value and possible transfer to archives
CLASS Index System – Faculty (reference list for all active and inactive faculty in English Department)	PER3000	Active + 6 years	Destroy
Faculty Employment Reports Index System (cards or other reference list for all active and inactive faculty)	PER3000	Active + 6 years	Review for value and possible transfer to archives



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Record	IUC No.	Retain	Disposition
Financial Aid Student Employment Personnel Files - Student Employees (active and inactive files. Student authorization forms, termination notices, State and federal withholdings, reclassification forms, step increases, exemptions, PERS).	PER3000	Active + 6 years	Destroy
General Counsel Faculty Files (files collected by the legal department concerning active and inactive staff)	PER3000	Active + 6 years	Destroy
General Counsel Student Files (files collected by the legal department concerning active and inactive students)	PER3000	Active + 6 years	Destroy
Leave Record - Faculty (vacation and sick leave earned and used)	PER3000	Active + 6 years	Destroy
Market Salary Adjustment Information (lists of eligible faculty and salary amounts, letters requesting applications, applications with abbreviated vita, summary reports of faculty that applied)	PER3000	Active + 6 years	Destroy Archive: lists of eligible faculty with salary amounts, award letters and summary reports
Provost/Senior Vice President Emeritus Status Paperwork (confers lifetime academic appointments)	PER3000	IND	Archives
Provost/Senior Vice President Personnel Files – Faculty (original faculty contracts and addenda, promotion and tenure documentation, original transcripts, hiring documentation, resumes, letters of recommendation, STRA forms, correspondence, teaching schedules, tax forms, sabbatical information, evaluation forms, promotion and tenure decisions. Includes part-time and adjunct faculty files.)	PER3000	Active + 6 years	Destroy



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Record	IUC No.	Retain	Disposition
Academic Affairs <u>Performance Evaluation - Faculty Promotion & Tenure Files</u> (recommendations, evaluations, materials submitted for promotion or tenure. Tenure and promotion recommendations (approval or denial) and pertinent correspondence maintained in permanent personnel file)	PER3010	5 years	Review for continuing administrative or historical value and potential transfer to archives
Academic Departments <u>Faculty Teaching Evaluations</u> (Student evaluations of teacher’s performance. Used for reappointment, promotion and tenure)	PER3010	5 years (can be destroyed in 1 year if summaries are made)	Destroy
College of Education <u>Cooperating Teacher Surveys</u> (surveys administered to student for evaluation of cooperating teacher during student’s practicum and student teaching experience)	PER3010	5 years (1 year if official copy verified in Field Services)	Destroy
<u>Leave Record - Classified Staff</u> (forms used to document sick leave and vacation leave. Includes hiring date, longevity date, amount of sick leave and vacation leave accrued)	PER3010	5 years	Destroy
<u>Leave Record - Staff</u> (forms used to document sick leave and vacation leave. Includes hiring date, longevity date, amount of sick leave and vacation leave accrued)	PER3010	5 years	Destroy
Athletics <u>Athletic Medical Records</u>	PER4010	Active + 7 years	Destroy
Health & Wellness Services <u>HIV Anonymous Charts</u> (Charts of testing with no identifying information)	PER4010	1 year	Destroy



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Record	IUC No.	Retain	Disposition
Health and Wellness University Medical Records (files of medical charts for university employees and their spouses, students, Includes medical histories, medical exams, progress sheets, x-rays, lab work, and related correspondence)	PER4010	10 years (after last encounter) (legal retention 7 years)	Review for continuing value and possible transfer to archives
Health and Wellness Lab Slips (copy of lab work done for other departments)	PER4011	2 years From Date of First Visit	Destroy
Speech & Hearing Clinical Records (records of clients presently receiving or have received therapy in the past)	PER4010	10 years after most recent encounter – minors keep until age of majority plus 10 years	Archives
Environmental Health & Safety Hazardous Materials Radioactive Materials Authorized Users (includes applications for non-human use of RM; statement of prior training and experience; authorization for internal transfer of material between Aus; room surveys; application for clinical use of RAM; emergency notification; application for investigational human use of RAM)	PER4030	IND	Permanent (may be sent to Archives)
Environmental Health & Safety Radiation Safety (records pertaining to campus radiation safety program, authorization of users, facility licensing, employee exposure reports and acquisition, use, storage and disposal of radioactive materials and x-ray machines)	PER4030	IND	Review for permanent retention
Environmental Health & Safety Hazardous Materials Exposure Documentation Radioactive Materials (files of monthly reports of persons exposure to radioactive materials)	PER4030	IND	Permanent (may be sent to Archives)



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Record	IUC No.	Retention	Disposition
<u>Environmental Health & Safety Hazardous Materials Exposure Documentation Radioactive Materials Incident Report</u> (report of radioactive materials incident)	PER4030	IND	Permanent (may be sent to Archives)
<u>Environmental Health & Safety Hazardous Materials Radiation Safety Workers</u> (includes training records, exposure records, applications and authorizations, documents of authorized users lab; specific RW training/interviews; emergency notification, and declaration of pregnancy forms)	PER4030	IND	Permanent (may be sent to Archives)
<u>Training/Development Records</u> (memos, flyers, registration forms, etc)	PER5000	Active + 3 years	Destroy
<u>General Application Files – Non Hires:</u> (Resumes, applications, correspondence, etc)	PER6000	6 years	Destroy
<u>Time Cards - Student Employees</u> (record of hours worked by student employees)	PER6000	5 years	Destroy



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Record	IUC No.	Retain	Disposition
Government Relations Public Affairs Records (records related to proposed laws and activities)	PUB2000	Active + 5 years	Destroy
Art Gallery/Marketing Press Files (all press releases)	PUB3000	IND	Archives
Cauldron (back issues)	PUB3000	IND	Archives
Cleveland Stater (back issues)	PUB3000	IND	Archives
Marketing Publicity News Releases	PUB3000	IND	Permanent - send to Archives
Marketing Publicity photographs	PUB3000	IND	Permanent send to Archives
Music Department Programs (programs of concerts and recitals performed at CSU)	PUB3000	IND	Archives
All Departments Newsletters	PUB3000	IND	Destroy
Whiskey Island Magazine (back issues)	PUB3000	IND	Archives



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Record	IUC No.	Retain	Disposition
Facilities Management Utilities Cost and Use Data (electric, water, gas, and steam consumption and cost data)	REF0000	IND (minimum 5 years)	Review for value
Floor Plans & Space Manual (includes floor plans for all buildings, department room assignments and HVAC locations)	REF000	Current	Destroy non-current
Human Resources Position Descriptions - Classified Staff (master file of classified job descriptions; retained for pay-range classification purposes)	REF0000	Active + 3 years	Destroy
Human Resources Position Descriptions - Faculty (description of current positions)	REF0000	Active + 3 years	Destroy
Human Resources Training Documentation - Classified Staff Civil Service Examinations File (old examinations used for the purpose of devising new testing programs; also can include information and materials for Civil Service testing)	REF0000	Active	Destroy
Non-Instructional Workforce Analysis	REF0000	SUP	Destroy
Student Employment Position Descriptions – Student Job Cards (job descriptions for campus and off-campus positions which have been filled or are no longer offered)	REF0000	Active	Destroy
All Departments References (records and non-record material maintained for reference purposes only)	REF000	Active Inactive when superseded or no longer referenced	Destroy