

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
ACC1000	Accounting Accounts Payable/Receivable Records related to payment of financial obligations and receipt of revenues. Includes vouchers, vendor invoices and statements; payroll and payroll deductions, contributions, and other income.	ACC000	4	3	4	
ACC1010	Accounting Journals / Ledgers Records used to transfer charges between accounts and for summarizing account information. Final, annual records only.	ACC010	6	6	6	
ACC2000	Accounting Capital Property Includes purchase and sales of property and equipment, depreciation, improvements, etc. Includes financial obligations associated with capital expenditures, purchase of land, buildings, equipment, furnishings, motor vehicles; material transfers, work orders, additions or improvements to building or equipment, property reporting.	ACC100	ACT+6	ACT	ACT+6	
ACC3000	Accounting Accounting Management Information Records and reports related to managing and determining accuracy of accounting information. See ACC1000 for the journals and ledgers and FIN7000 for financial statements.	NONE	0	4	4	
ADM1020	Administration Planning / Forecasting Records related to planning and forecasting for internal purposes. Includes annual plans, five- and ten-year strategic plans and forecasts, facility requirements, growth forecasts.	NONE	0	ACT+1	ACT+1	

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ADM2020	Administration Property Management Maintenance / Repair Records related to the maintenance and repair of property.	CON000	ACT+5	ACT+6	ACT+6	
ADM2030	Administration Property Management Construction / Modifications Records related to design, construction and layout of buildings and facilities.	CON000	ACT+5	ACT+6	ACT+6	
ADM3000	Administration Policies / Procedures Records documenting institution approved methods or processes for performing activities to ensure uniformity and compliance with institution and legal requirements. Includes institutional policy and procedure manuals.	POL000	ACT+10	ACT	ACT+10	
ADM3010	Administration Policies / Procedures Audits, Internal Records demonstrating compliance with internal policies and procedures. Includes audit reports, remedial activities, and workpapers. See ADM3000 for actual policy or procedure.	NONE	0	4	4	

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ADM3020	Administration Policies / Procedures Compliance Records related to compliance with policies and procedures. Includes records destruction certificates. See ADM3000 for actual policy or procedure.	POL100	10	3	10	
ADM3030	Administration Policies / Procedures Safety / Emergencies Records related to spill prevention, employee safety, and other related procedures regulated by government agencies.	POL200	ACT+10	ACT	ACT+10	
ADM4000	Administration Safety / Security Records related to protection of employees, equipment, buildings and Information. Includes security clearances, pass card lists, password lists. Also includes safety of employees and equipment.	NONE	0	3	3	
ADM9900	Administration General Records related to administration activities not previously covered. Includes routine administration.	NONE	0	1	1	
ADM9910	Administration Subject Files Includes correspondence, reports, minutes, memoranda, and informational files of upper level administrative officers and governing bodies.	NONE	0	3	3	

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EDU1000	<p>Education Student Records Permanent Records</p> <p>Includes official academic records (including grades, course evaluations, competency assessments, etc.), change of grade forms, credit by examination forms, faculty grade reports, transcript requests (other than student requested).</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	EDU100	ACT+6	IND	IND	
EDU1010	<p>Education Student Records Non-Permanent</p> <p>Records of students who matriculated, whether or not they earned a degree. Includes applications for admission / readmission, letters of recommendation, entrance examinations and placement test reports, advanced placement records, transcripts, medical records, academic action notifications, applications for graduation, documents regarding progress toward degree, transfer credit evaluations. Also includes student placement and continuing education.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	NONE	0	ACT+1	ACT+1	

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EDU1030	<p>Education Student Records Family Educational Rights and Privacy Act Documents / Privacy Documentation</p> <p>Records related to Educational Rights and Privacy Act including requests for formal hearings, requests and disclosures of personally identifiable information, student statements on content of records regarding hearing panel decisions, students' written consent for records disclosure, waivers of rights of access, written decisions of hearing panels, etc.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	EDU110	ACT+3	ACT+1	ACT+3	
EDU1100	<p>Education Data / Documents for Applicants Who Do Not Matriculate</p> <p>Records related to applicants who do not matriculate, whether denied admission or accepted and do not enter. Includes applications for admissions / readmissions, acceptance letters and other correspondence, letters of recommendation, entrance examinations and placement test reports, advanced placement records, transcripts, medical records.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	NONE	0	1	1	
EDU2000	<p>Education Student Loans</p> <p>Records related to student loans including application, approvals, disbursements, repayment, etc.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	EDU120	ACT+6	ACT+6	ACT+6	

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EDU2100	<p>Education Student Loans U.S. Department of Education</p> <p>Records related to student loans from the U.S. Department of Education including application, approvals, disbursements, repayment, etc.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p> <p>See EDU2000 for all other student loans.</p>	EDU121	ACT+3	ACT+3	ACT+3	
EDU3000	<p>Education Publications, Statistical Data / Documents, Institutional Reports</p> <p>Includes catalogs, commencement programs, degree statistics, enrollment statistics, grade statistics, graduation lists, Integrated Post Secondary Education Data System reports, Ohio Board of Regents reports, racial / ethnic statistics, schedule of classes (institutional), tuition and fee schedules.</p> <p>See EDU3010 for short-term reference records related to educational programs.</p>	EDU300	ACT+6	IND	IND	
ENV1000	<p>Environment Testing</p> <p>Records related to the testing, monitoring and analysis of the environment.</p>	ENV200	5	3	5	

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ENV2000	Environment Hazardous Substances Records related to the use, manufacture, and testing of hazardous substances. See ENV2010 for transportation of hazardous substances.	ENV100	IND	IND	IND	
ENV2010	Environment Hazardous Substances Transportation Records related to the transportation of hazardous substances. Includes shipping manifests for hazardous substances.	ENV110	IND	IND	IND	
ENV3000	Environment Water / Air Pollution Records related to discharge of pollution into water and air.	ENV200	5	3	5	
ENV9900	Environment General Records related to environment not covered elsewhere.	NONE	0	3	3	
FIN1000	Finance Banking Records related to banking activities. Includes deposits, checks, statements, reconciliations, drafts, canceled checks, automatic deposit plans, check registers, cash management.	ACC000	4	3	4	
FIN2000	Finance Budgets / Financial Forecasts Records related to internal planning and financial management.	NONE	0	ACT+1	ACT+1	

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FIN3000	Finance Investments Records related to passive investments in stocks, bonds, mutual funds, etc. to track and manage investments including endowment funds. See ACC2000 for accounting for investments.	ACC100	ACT+6	ACT+3	ACT+6	
FIN5000	Finance Loans / Credits Records related to the applications, issuance, management and administration of loans to the institution. Includes correspondence with lenders, reports to lenders, debt information, work papers, writeoffs, write downs, losses.	ACC100	ACT+6	ACT+3	ACT+6	
FIN6000	Finance Bad Debts / Collections Records related to the monitoring, collecting and writing off of bad debts. Includes authorizations, supporting details of uncollectible accounts.	NONE	0	4	4	
FIN7000	Finance Financial Statements Financial statements, reports, and background information submitted to government agencies/	ACC000	4	4	4	
FIN7010	Finance Financial Statements Audits, External Records of external audits related to determining the accuracy of final financial statements.	ACC000	4	4	4	

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FIN8000	Finance Purchasing Records related to request for bids, bid review, receiving, inspection of merchandise, proof of receipt, etc. See ACC1000 for accounting for actual purchases. See LEG2000 for purchasing contracts.	NONE	0	3	3	
FIN8010	Finance Purchasing Purchase Orders Records related to actual purchases or commitments to purchase.	CON000	ACT+5	ACT	ACT+5	
FIN8020	Finance Purchasing Receipt / Shipment Documentation Records related to shipment or receipt of purchases.	NONE	0	3	3	
LEG2000	Legal Contracts / Agreements Records related to obligations under contracts, leases, and other agreements between institution and outside parties. Includes contracts for services, purchases and sales, transportation, leases, property and construction, exchange of property, etc. Includes government contracts and grants and records required to be kept until government audit. See LEG2010 for other records related to contract compliance.	CON000	ACT+5	ACT+1	ACT+5	

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LEG2010	Legal Contracts / Agreements Contract Performance Records related to compliance or performance of contracts. Includes determination of costs, performance of services, payments, work products delivered, etc. Includes government contracts. See LEG2000 for actual contracts and agreements, including government grant materials that must be kept until the end of the contract and the completion of government audit.	CON010	5	3	5	
LEG3000	Legal Insurance Records related to coverage affecting liability. Includes policies, amendments, riders, proof of payment, etc. See PER1010 for employee medical and life insurance.	CON000	ACT+5	ACT+1	ACT+5	
LEG3010	Legal Insurance Future Liability Records related to insurance coverage for product liability, exposure to hazardous substances, or other problems manifesting themselves long after the policy terminates. Includes liability policies.	CON200	IND	IND	IND	
LEG4000	Legal Claims / Litigation Records related to threatened or actual litigation or government investigation. Includes pleadings, discovery, attorney work-products, legal opinions, transcripts, exhibits, final judgments, and investigative reports.	LIT000	ACT+6	ACT+1	ACT+6	

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LEG5000	Legal Compliance Records related to the preparation of documents required by law. Includes reporting and filings with agencies such as IRS, DOT, OSHA, EPA, EEOC. See LEG5010 for tax returns.	LEG000	6	6	6	
LEG5010	Legal Compliance Tax Returns Tax returns filed for tax-exempt confirmation for sales, income, and other taxes. See ACC1000 for detailed accounting records.	LEG000	6	10	10	
LEG5020	Legal Compliance License / Permits Records including licenses required to conduct activities, collect taxes, etc.	LEG100	ACT+3	ACT	ACT+3	
LEG5030	Legal Compliance Orders - Agency / Court Records related to unique orders issued to institution.	LEG100	ACT+3	ACT+3	ACT+3	

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LEG6010	Legal Legal Projects Legal Opinions Records resulting from legal projects which document the specific legal advice provided.	POL000	ACT+10	IND	IND	
LEG7000	Legal Copyright / Trademark / Patents Records related to preparation, filing, maintenance, and rights.	LIT000	ACT+6	ACT+1	ACT+6	
LEG9900	Legal General Records related to legal activities not covered elsewhere.	NONE	0	3	3	
MAR1000	Marketing / Sales Advertising / Sales Opportunities Recors related to advertising and claims made to potential students including brochures and recruitment materials. See also PUB3000 for Public Affairs publicity.	ADV000	3	5	5	
MIS1000	Miscellaneous Reports / Copies Miscellaneous reports and other records which need only be reviewed for a short period - day, week, quarter, current year.	NONE	0	1	1	
MIS1010	Miscellaneous Reports / Copies Periodic Replacement Records Records replaced periodically by newer, updated ones.	NONE	0	SUP	SUP	

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MIS2000	Miscellaneous Special Projects Records related to special projects that do not fall into any other category.	NONE	0	ACT+1	ACT+1	
PER1010	Personnel Benefits Benefit Plans Records related to institution sponsored benefit plans. Includes insurance, pension, disability, medical, survivor programs, ESOP, PAYSOP, vesting criteria, vacation entitlements, educational assistance, savings plans, correspondence explaining benefit plans. See LEG5000 for pension reports to government.	EMP110	ACT+6	ACT+1	ACT+6	
PER1020	Personnel Benefits Contributions / Benefits Provided Records related to contribution and participation in institution-sponsored benefit plans. Includes insurance, pension, disability, savings, etc.	EMP100	6	3	6	
PER1030	Personnel Benefits Elections Records of elections by employees for type and amount of participation in institution benefit plans.	EMP110	ACT+6	ACT	ACT+6	

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PER1040	Personnel Benefits Pension Summary Information Records related to cumulative years of service, total pension contributions, accrued benefits, etc.	EMP120	ACT+6	ACT	ACT+6	
PER2000	Personnel Employee Selection Records of general nature related to personnel requests, job applications, testing, advertising, interviews, etc.	EMP900	1	3	3	
PER3000	Personnel Employee Records Summary Records Summary records for individual employees.	EMP120	ACT+6	ACT+3	ACT+6	
PER3010	Personnel Employee Records Personnel Actions Records regarding specific employees. Includes hiring, promotion, performance appaisals, transfers, termination, etc.	EMP300	5	3	5	

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PER4010	Personnel Health / Safety Medical Records - General Medical records related to treatment, examinations, history, etc. related to general medical matters for employees. Excludes other hospital, patient and financial records for university hospitals. University hospitals should follow prevailing federal and state requirements for medical records. Note: Ohio Administrative Code 4732-17-01, B 6 requires the retention of summaries of client files for 12 years. See HUM4020 for accident and injury reports. See HUM4030 for hazardous exposure.	EMP700	6	3	6	
PER4011	Personnel Health / Safety Personnel Fitness Records Records related to physical exams and physical fitness for personnel fitness center.	NONE	0	ACT+1	ACT+1	
PER4020	Personnel Health / Safety Accidents / Injuries Records related to on-the-job accidents often used for workers' compensation claims.	EMP700	6	3	6	

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PER4030	Personnel Health / Safety Hazardous Exposure Medical records related to exposure or possible exposure to hazardous or toxic substances including testing. See ENV2000 for testing for exposure to hazardous substances.	EMP500	IND	ACT	IND	
PER5000	Personnel Training / Development Records related to the development and operation of institution training programs and seminars. Includes seminars, education assistance, management and supervision development, job progression, drug and alcohol awareness, course listings, schedules, requests and approvals.	EMP800	ACT+3	ACT	ACT+3	
PER5010	Personnel Training / Development Certification Records related to certification for individuals to perform certain tasks. Includes CPA, bar admissions, CLE, etc.	EMP800	ACT+3	ACT	ACT+3	
PER6000	Personnel Salary Administration Records related to determining and monitoring salary and deduction amounts including timesheets. See ACC1000 for accounting records for payroll and deductions.	EMP300	5	3	5	
PER9900	Personnel General Records related to salary studies and other personnel or human resources activities not covered elsewhere.	NONE	0	3	3	

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PUB2000	Public Affairs Government Relations Records related to monitoring government activities and proposed laws.	NONE	0	5	5	
PUB3000	Public Affairs Publicity Records related to marketing and promoting institution image and activities such as press releases, publications, photographs.	NONE	0	IND	IND	
PUB4000	Public Affairs Employee Relations Records related to informative communications to employees such as newsletters, letters from administration, etc.	NONE	0	3	3	
PUB6000	Public Affairs Publications Publications produced by institution. Archives/Library maintains one copy of all completed publications for reference purposes.	NONE	0	5	5	
REF0000	Reference Records and non-record material maintained for reference purposes only.	NONE	0	ACT	ACT	