THE OHIO STATE UNIVERSITY

GENERAL RECORDS RETENTION SCHEDULE

AS OF SEPTEMBER 9, 2016

INTRODUCTION

A record series is a group of related records filed and/or used together as a unit and therefore evaluated as a unit for retention and disposition purposes. A records retention schedule is a comprehensive list of record series, indicating for each the length of time the series is to be maintained and its disposition.

Ohio State's *General Records Retention Schedule (General Schedule)* accounts for the management and disposition of university record series that are common to many units across campus. In addition, there are units on campus that have record series that are unique to their operations and therefore have a unique records retention schedule in addition to the *General Schedule*. All schedules, general or unique, are developed by the University Archives in consultation with campus and unit representatives.

All Ohio State units must familiarize themselves with the *General Schedule,* and have an understanding of what records—paper-based and electronic—they create and/or receive and are required to manage. Units must conduct an inventory of their records and map them to the *General Schedule*.

If a unit identifies record types that do not map to the *General Schedule*, the unit should contact the University Archives to discuss the creation of a unique schedule. All unit unique schedules must be signed by the University Archivist and an appropriate unit representative.

SCHEDULE REVISIONS

Additions and changes since the last update are denoted as follows:

- **Additions**: Record series added to the OSU General Schedule will be highlighted in green.
- **Changes**: Changes and modifications to existing record series on the OSU General Schedule will be highlighted in yellow.

RECORDS MAINTAINED BY CENTRALIZED CAMPUS UNITS

The following are several records series that are held by centralized campus units, and should not be maintained locally:

- **ACCOUNTS PAYABLE**
  - Invoices are scanned into EDMS (OnBase) and integrated with PeopleSoft
- **OFFICE OF ACADEMIC AFFAIRS**
  - Promotion and Tenure documents
- **OFFICE OF FACILITY DESIGN AND CONSTRUCTION**
  - Blueprints
  - Construction documentation
- **OFFICE OF HUMAN RESOURCES**
  - Background Checks
  - Benefits documentation
  - Position descriptions – maintained in PeopleSoft
  - Retirement Systems Exemption Requests
  - Sick leave balances – retained for 10 years post separation per Ohio law
  - State Service Record
  - W-4 Forms

- **OFFICE OF THE REGISTRAR**
  - Couse Schedules
  - New course forms
  - Student Evaluation of Instruction forms (SEI)
  - Student records (transcripts, change of course forms, change of grade forms)
- **PURCHASING**
  - Purchase Orders maintained centrally in PeopleSoft
- **UNIVERSITY ARCHIVES**
  - Certificate of Records Destruction

DISPOSITION

Part of any effective records management program is the timely disposition of obsolete records and the documentation thereof. The Ohio State General Schedule currently identifies five (5) general disposition options:

- **Destroy – Secured:** If the record series contains "Private" or "Restricted" information, as defined in Ohio State's Institutional Data Policy (https://go.osu.edu/institutional-data-policy) the records ***must be*** destroyed in a secure manner such as incineration, maceration, shredding, pulping, or secure electronic destruction—the most common method being that of shredding. While not required for information identified as "Internal" secure destruction is recommended.

- **Destroy:** If the record series does not contains restricted information, the records may be destroyed by placing in trash or recycling, or via electronic destruction, as well as in the manner described for secured destruction.

- **Permanent within Department or Unit:** Records series that have a demonstrated legal or administrative need to a particular unit on campus to be maintained permanently.

- **Archival Review:** Record series that have selective content that may be of value to the University Archives in documenting Ohio State's history, and should be submitted to the University Archives for review prior to destruction.

- **University Archives:** Records series that have significant value in documenting Ohio State's history must be transferred to the University Archives. If the unit has determined that records should be transferred to the Archives, please follow the procedures detailed at: http://go.osu.edu/records-xfer.

Before actually disposing of the records, the Ohio State unit should complete and forward a Certificate of Records Destruction (CRD) (http://go.osu.edu/crd) to the University Archives for review and permanent retention. Units are strongly encouraged to conduct a records purge at a minimum of an annual basis.

Due to the low informational value, high volume, and frequency of disposal, a CRD does not need to be completed for the routine disposal of records identified as transient in the retention schedules.

RETENTION TERMINOLOGY

Record retention periods can either be a set period of time or it can be an event-driven period. Below is an explanation of retention period terminology:

- **Active+**: This retention period indicates that the final disposition clock does not start until the active period is over. *Example: Strategic Plans must be retained Active + 1 year; after a new strategic plan is adopted the final 1 year of retention begins.*

- **Life of Building+**: This retention period is similar to "Active+" but pertains specifically to buildings. The final retention period begins when a building is destroyed or sold.

- **Until Superseded**: This retention period pertains to documents that are routinely updated and therefore superseded by the current version.

- **Indefinite:** This retention period pertains to records that are required to be maintained for a significant period of time and possibly permanently. However, it is not yet known whether they truly need to be maintained forever, and at some point in the future their status must be reappraised.

- **Transient:** Documents including telephone messages, some emails, drafts and other documents, which serve to convey information of a temporary value, have a very short lived administrative, legal and/or fiscal value and should be disposed in an appropriate manner once that administrative, legal or fiscal use has expired. Typically the retention is not a fixed period of time and is event driven; it maybe as short as a few hours and could be as long as several days or weeks.

IS EMAIL A RECORD? WELL THAT DEPENDS…

...what we have to understand is that email is not a record type or series, but is a means of conveying information similar to the Unites States Postal Service. As such, its retention is based upon the content of the email message, not the fact that it is an email message.

WHAT IS EMAIL? An email (electronic mail) message is comprised of the following components:

- textual message
- metadata (To, From, Subject, Time, Date, System, etc.)
- attachments

As such, each component is part of the record or non-record, as the case may be. In many instances, email has taken over the role of "general correspondence" and memorandums, as well as the telephone message. If an email message meets the criteria of a record, it must be managed as such, with as much effort, and vigilance as one would a "traditional" record, *however, keep in mind there are only a small percentage that we have to manage for any significant period of time.*

EMAIL MANAGEMENT: The key to effectively managing email is to get rid of the non-records and any transient/transitory records that have outlived their administrative/legal/fiscal value as quick as possible so that one is left with a small percentage, of what they have sent and/or received, that truly needs to be managed on an on-going basis. One should approach the management of email in a manner similar to how they handle processing their "snail mail" at work and home:

- Open the email and review the document's content; this may mean thoroughly reading the document, but more often than not, one is able to judge just by a cursory look at the document, the subject line, and/or the sender:

  - *If it is a non-record,* one should delete the message outright, just as one would dump the "snail mail" non-record into the trash can or recycle bin;

  - *If it is a transient/transitory record,* then place it in a folder or sub-folder (analog or digital) that is designated for periodic review and dispose of as soon as allowable. One might create a "Transient/Transitory" folder or create sub-folders of record type/series or projects for the transient/transitory messages.

  - *If it is a record,* place it in an appropriate folder by record type/series, project, retention time, or other filing schema that works for one's office/organization and allows that unit to effectively manage the life cycle of the record.

General Records Retention Schedule

Accounting & Financial Records

Record Series	Retention and Disposition	Notes
Accounts Payable Documentation <mark>Records related to payment or receipt of financial obligations not included in the e-Request and e-Travel systems.</mark>	4 years ***Destroy - Secured***	n/a
Accounts Receivable Documentation <mark>Amounts due from others on open accounts as a result of providing goods or services.</mark>	4 years ***Destroy - Secured***	n/a
Audits, External	4 years ***Archival Review***	Review for continuing historical value and potential transfer to University Archives.
Bad Debt Documentation <mark>Overdue account payments for services rendered (e.g. library fines, parking tickets, loans)</mark>	4 years ***Destroy - Secured***	<mark>Local units maintain the record of payments for services rendered (accounts receivable). If the account goes into collections, then the documentation should be sent to the Bursar's Office, who in turn will send it to the State of Ohio's Attorney General's office.</mark>
Banking Documentation Including records of deposits, periodic statements of balance, canceled checks (including access to checks imaged under the authority granted in Check21) and reconciliation documentation.	4 years ***Destroy - Secured***	n/a

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Accounting & Financial Records

Record Series	Retention and Disposition	Notes
Bids: Accepted	Active + 8 years	Active = life of associated contract.
		University Purchasing conducts the bids, in most but not all instances, and it is their responsibility to maintain the associated documentation. Purchasing does not conduct the bids for the Office of Sponsored Projects, Facilities, Design and Construction, the Wexner Medical Center, or special projects initiated by the Chief Financial Officer.
Bids my be conducted via a Request for Proposal (RFP), Request for information (RFI), Request for Bid (RFB), and reverse auction among other means.	*Destroy - Secured*	
Bids: Rejected	3 years	University Purchasing conducts the bids, in most but not all instances, and it is their responsibility to maintain the associated documentation. Purchasing does not conduct the bids for the Office of Sponsored Projects, Facilities, Design and Construction, the Wexner Medical Center, or special projects initiated by the Chief Financial Officer.
Bids my be conducted via a Request for Proposal (RFP), Request for information (RFI), Request for Bid (RFB), and reverse auction among other means.	*Destroy - Secured*	
Budget Planning File	Active + 1 year	Active = while budget is current.
	Destroy - Secured	Original maintained by University Budget Office.
Cash Register Tapes	4 years Destroy	n/a
Chart of Accounts An institutional list of the accounts and their identification coding.	4 years *Destroy - Secured*	n/a

General Records Retention Schedule

Accounting & Financial Records

Record Series	Retention and Disposition	Notes
Cost Accounting Documentation Records analyzing the cost of producing certain items or performing certain tasks.	4 years *Destroy - Secured*	n/a
Credit Card Receipts	2 Years *Destroy - Secured*	n/a
Endowment Fund Reports, Annual Annual report of funds received and expended by endowment accounts. May be in form of report to donors.	Active + 6 years *Archival Review*	Active = while endowment exists. Review for continuing historical value and potential transfer to University Archives.
Financial Accounting Statement Issued monthly by OSU Controller who has official record; profiles record of expenses, income, and balances for each account.	4 years *Destroy - Secured*	n/a
Financial Disclosure Statement "Related party/Conflict of Interest Disclosure Statement" or form to show compliance with Ohio Ethics Law, generally accepted accounting principles, and OSU Human Resources Policy 1.30.	4 years *Destroy - Secured*	n/a
Financial Reconciliation Documentation Reconciliation of department records to general ledger reports.	4 years *Destroy - Secured*	n/a

Accounting & Financial Records

Record Series	Retention and Disposition	Notes
Financial Report, Annual	4 years	Review for continuing historical value; Vice President of Business & Finance's Office provides Archives with official copy.
Consolidated year-end report of financial documentation showing assets and liabilities, broken down by major funding areas, such as academic and student services areas.	Destroy	
Financial Reports, Interim	4 years	n/a
A report of institutional assets, liabilities, expenditures, income and equities. A periodic report, not the year-end report.	Destroy	
Fixed Assets Machinery & Equipment Documentation	Active + 6 years	Active = while machinery or equipment is owned by the University.
		This record series was previously known as "Inventory Control Record."
Records related to the purchase, maintenance and disposition of machinery and equipment.	Destroy	
Journals, Cash	4 years	n/a
Documentation of institutional cash transactions and petty cash transactions, including disbursements and receipts.	*Destroy - Secured*	
Journals/Ledgers, Annual	6 years	n/a
Records used to transfer charges between accounts and for summarizing account information.	*Destroy - Secured*	
Payroll Certification	1 year	n/a
Form that affirms an employee is on the payroll and should receive payment.	*Destroy - Secured*	

Accounting & Financial Records

Record Series	Retention and Disposition	Notes
Payroll Processing Checklist, Bi-weekly and Monthly Monthly	4 years *Destroy - Secured*	Service Centers are required to complete the monthly and/or biweekly checklists when processing each payroll and retain them with the reports used to reconcile to the general ledger each month. These records are only maintained by local units if they do not use a Service Center.
Procurement Card (PCard) & Travel Card Documentation Including: statements from bank regarding PCard and Travel Card use, transaction forms, and other supporting documentation.	4 years *Destroy - Secured*	Procurement Card (PCard) and Travel Card contracts are maintained by the "Travel, PCard, & Expediting Program"
Procurement Support Documentation: Local Copy Local copies of documentation (e.g. delivery slips, receipts) scanned into the eRequest system.	60 Days *Destroy - Secured*	This paper documentation is maintained for quality control purposes. The University's Office of Business and Finance is the office of record and is responsible for maintaining the documentation for 4 years in the enterprise accounting system.
Purchase Orders (POs)	Active + 8 years *Destroy - Secured*	Active = while the PO is in effect. The University's Office of Business and Finance is the office of records, and local units should not be maintaining copies of Purchase Orders.
Registers, Bond Listing of bonds sold, usually for building projects, showing purchaser, date redeemed, interest due, etc.	Active + 6 years *Destroy - Secured*	Active = while bonds are active.

General Records Retention Schedule

Accounting & Financial Records

Record Series	Retention and Disposition	Notes
Royalty Payments	4 years ***Destroy - Secured***	n/a
Time-keeping Documentation Includes documentation (such as timesheets or time input forms) of staff, work-study students, and non-work-study students	5 years ***Destroy - Secured***	n/a
Travel Reimbursement Support Documentation - eTravel: Local Copy Local copies of documentation scanned into eTravel for reimbursement to university employees for university related travel.	60 Days ***Destroy - Secured***	This paper documentation is maintained for quality control purposes. The University's Office of Business and Finance is the office of record and is responsible for maintaining the documentation for 4 years in the enterprise accounting system.

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Administrative Records

Record Series	Retention and Disposition	Notes
Accreditation Files University, college or department files documenting accreditation review by accrediting agencies.	10 years *Archival Review*	Review for continuing historical value and potential transfer to University Archives.
Advertising	5 years *Archival Review*	Review for continuing historical value and potential transfer to University Archives.
Annual Reports Annual report of the originating department.	3 years *Transfer to University Archives*	One (1) copy must be transferred to the University Archives. All others may be destroyed.
Audits, Internal	4 years *Destroy - Secured*	n/a
Camp Registration Form	1 year *Destroy - Secured*	If incident occurs, record is covered under retention for "Incident/Accident Reports"
Customer Service Call The entire recorded telephone call that comes in to a customer service center	1 year *Destroy - Secured*	n/a
Environmental Monitoring Records	5 years *Destroy - Secured*	n/a

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Administrative Records

Record Series	Retention and Disposition	Notes
Faculty Governance Documentation Includes promotion and tenure policy, patterns of administration, departmental guidelines, policies, procedures, notices of guidelines, administrative memos, lists of eligible faculty.	Until Superseded *Transfer to University Archives*	Transfer to University Archives when superseded.
General Files Consists of correspondence, email, projects and subject files not required to be maintained elsewhere on the schedule or within a unit specific schedule.	1 year Destroy	n/a
General Files, Upper Administrative Consists of files of the President's Office, deans, directors, chairs and upper-level administrators including correspondence, email, projects and subject files not required to be maintained elsewhere on the schedule or within a unit specific schedule.	3 years *Archival Review*	Destroy all materials not documenting a signification action or interaction; transfer remainder to University Archives.
Incident/Accident Reports	3 years *Destroy - Secured*	If legal action is pending, retain per advice of Legal Affairs
Minutes Minutes of boards, committees, task forces, and other university units and organizations.	3 years *Transfer to University Archives*	Transfer to University Archives.
Motor Vehicle Records Including copies of title, maintenance, & usage.	Active + 6 years Destroy	Active = while vehicle is owned by the University.
Newspaper Clippings Concerning the activities of an OSU department.	Indefinite *Transfer to University Archives*	Transfer to University Archives after 3 years.

Administrative Records

Record Series	Retention and Disposition	Notes
Organizational Charts	Active + 10 years *Transfer to University Archives*	Active = while chart is still valid. One (1) copy must be transferred to the University Archives. Review for continuing historical value.
Public Records Request Files	3 years *Destroy - Secured*	n/a
Publications Includes newsletters, news releases, brochures, publicity photographs, etc.	Indefinite *Transfer to University Archives*	Transfer to University Archives after 3 years.
Recruitment Materials, General Videos, publications, posters, advertisements, etc. used to recruit students to attend the institution.	5 years *Archival Review*	Review for continuing historical value and potential transfer to University Archives.
Research Projects, Approved Files containing proposal, budgets, accounting information, correspondence, and reports for grant funded and non-grant funded research.	Active + 8 years *Destroy - Secured*	Active = life of the research project and associated contractual funding. Retention may be longer based on circumstance-specific requirements, such as federal clinical trial requirements or other contractual terms. Office of Sponsored Projects has administrative responsibility for those research projects that have been externally funded.

General Records Retention Schedule

Administrative Records

Record Series	Retention and Disposition	Notes
Research Projects, Rejected Files containing proposal and correspondence for grant funded and non-grant funded research.	1 year Destroy	n/a
Strategic Plans	Active + 1 year ***Transfer to University Archives***	<mark>Active = until strategic plan is superseded by new plan.</mark> One (1) copy must be transferred to the University Archives.
Telephone Records	4 years ***Destroy - Secured***	n/a
Training Course Documentation Memoranda, flyers, catalogues, registration forms, rosters, and other records relating to training courses.	Until Superseded Destroy	n/a
Transient Materials All informal and/or temporary messages (including, but not limited to, e-mail and voice mail) and all notes and all drafts used in the production of public records by any Ohio State University employee. Transient material also includes anonymous, unsigned and/or unsolicited written or electronic materials, including, but not limited to, anonymous student complaints, anonymous writings from individuals inside or outside the institution, and voice mail messages.	Transient Destroy	n/a

General Records Retention Schedule

Administrative Records

Record Series	Retention and Disposition	Notes
University Policy University Policy provide specific direction for operations, administration, or programs. Policies are applicable university-wide and are developed through the University Policy Process and adopted by Senior Management Council which may additionally take them to the president or Board of Trustees at its discretion. Policies enhance the university's mission and operational efficiency, mandate action or constraints, and must be consistent with relevant statues, regulations, bylaws, or rules.	Until Superseded ***Transfer to University Archives***	When policy is superseded, the prior policy should be transferred to the University Archives.

General Records Retention Schedule

Human Resources Records

Record Series	Retention and Disposition	Notes
Activities and Programs with Minor Participants Policy ("Minors Policy") Records Records required by University Human Resources Policy 1.50 (Activities and Programs with Minor Participants Policy) including but not limited to: policy registration (note that this differs from participants' registrations collected by program), training records, standards of behavior, and any other policy-related documentation not addressed elsewhere.	3 years *Destroy - Secured*	Background checks are maintained by the Office of Human Resources.
Affirmative Action Documentation Records documenting procedures and regulations to be followed for outreach and recruitment activity, goals, timetables, statistics and work force analysis thereof that evidences proactive recruitment of minority and under-represented communities as per 41 CFR 60-741.44(f).	6 years *Transfer to University Archives*	Self-disclosure for individuals w/disabilities and protected veteran's status are maintained separately as per 41 CFR 60-741.42(b).
Affirmative Action Documentation: Self-disclosure for Individuals with Disabilities n/a	3 years *Destroy - Secured*	Required to be maintained separately as per 41 CFR 60-741.42(b)
Affirmative Action Documentation: Self-disclosure for Individuals with Protected Veteran's Status n/a	3 years *Destroy - Secured*	Required to be maintained separately as per 41 CFR 60-300.42
Application for Employment: Hired Including faculty, A&P staff, CCS staff, graduate associates, and students assistants.	Active + 6 years *Destroy - Secured*	Active = employee's service with the university. Applications should become part of personnel file.

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General Records Retention Schedule

Human Resources Records

Record Series	Retention and Disposition	Notes
Application for Employment: Non-hired Including faculty, A&P staff, CCS staff, and graduate associates.	3 years *Destroy - Secured*	n/a
Application for Employment: Non-hired Student Assistants	1 year *Destroy - Secured*	n/a
Background Check Results Required by Law: Local Copy Results of a background check for employment supplied by the Office of Human Resources to campus units who are required by law and/or regulation to maintain a local copy.	3 years *Destroy - Secured*	n/a
Background Checks not required by law and where decision to hire is affected: Results and other materials [OBSOLETE] All other documentation and materials (background check results, letters to/from candidate, fingerprint cards, etc.) used to assess a candidate's or employee's eligibility for employment. This excludes the Background Check Disclosure, Authorization, and Release Form	3 years *Destroy - Secured*	Destroy in a way that protects confidentiality. THIS PROCESS WAS CENTRALIZED IN 2014; ALL COPIES SHOULD BE DISPOSED OF BY END OF 2017.
Background Checks required by law: Results and other materials [OBSOLETE] All documentation and materials (background check results, letters to/from candidate, fingerprint cards, etc.) used to assess a candidate's or employee's eligibility for employment where required by law. This excludes the Background Check Disclosure, Authorization, and Release Form	3 years *Destroy - Secured*	Code of Federal Regulations (29 CFR 1627.3) requires this class of record to be maintained for 1 year, however the Inter-University Council has chosen to maintain this record class for a minimum of 3 years. This record series may be required to be maintained longer than 3 years if a relevant law or regulation exists. Destroy in a way that protects confidentiality. THIS PROCESS WAS CENTRALIZED IN 2014; ALL COPIES SHOULD BE DISPOSED OF BY END OF 2017.

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Human Resources Records

Record Series	Retention and Disposition	Notes
Background Checks: Disclosure, Authorization, and Release Form Consent form used to obtain a candidate's or employee's background check information	Active + 6 years *Destroy - Secured*	Active = employee's service with the university. Retained by Background Check Coordinator. Destroy in a way that protects confidentiality.
Check & Direct Deposit Distribution List & Forms	1 year *Destroy - Secured*	n/a
Disciplinary Documentation	Active + 6 years *Destroy - Secured*	Active = employee's service with the university.
Evaluations, Personnel Evaluation of work performance of faculty and staff (See also Evaluations, Class/Course).	5 years *Destroy - Secured*	Unless governed by contractual agreement.
Faculty 4th Year Review Files with Review by OAA: Local Copy Local copy of faculty dossier that consists of copies of documentation of teaching, research, and community service where the final review is by the Office of Academic Affairs.	1 year *Destroy - Secured*	Office of Academic Affairs is the "office of record." The "local copy" is maintained during the decision making year. Destroy in a way that protects confidentiality.
Faculty 4th Year Review Files without Review by OAA Faculty dossier that consists of copies of documentation of teaching, research, and community service where the final review is by the College.	1 year *Transfer to University Archives*	Maintain during the decision making year, then transfer to the University Archives.

General Records Retention Schedule

Human Resources Records

Record Series	Retention and Disposition	Notes
Hazardous Materials Handling Documentation Includes applications and authorizations, documents of authorized users labs, training records, transfer and transportation documents, disposals documentation, materials incident reports, monthly exposure records, and emergency notifications.	Indefinite Permanent w/in Department or Unit	n/a
Immigration and Naturalization Documentation Including Form I-9 (eligibility for employment) and Form I-20 (visa).	Active + 3 years ***Destroy - Secured***	Active = employee's service with the university. Per federal guidelines of the U.S. Citizenship and Immigration Services.
Job Posting Postings of faculty, staff and student staff openings that are not maintained by the Office of Human Resources	3 years Destroy	n/a
Leave Forms, Sick & Vacation	1 year ***Destroy - Secured***	Retained by departmental Human Resources.
Leaves of Absence Requests and related documentation.	5 years ***Destroy - Secured***	This includes, but is not limited to, Faculty Professional Leave (FPL).
Leaves of Absence: Family and Medical Leave Act (FMLA) Records required to be kept as per the Family and Medical Leave Act	3 years ***Destroy - Secured***	n/a
Letters, Congratulatory	5 years Destroy	n/a

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Human Resources Records

Record Series	Retention and Disposition	Notes
Notification of Essential Personnel Status As per the Disaster Preparedness and University State of Emergency Policy, Section 4.A, each departmental HR unit must inform their personnel of their status annually.	Until Superseded *Destroy - Secured*	n/a
Ohio Ethics Acknowledgment Statement	Active + 6 years *Destroy - Secured*	Active = employee's service with the university.
Personnel Records, Faculty As per OSU Personnel Records Policy 1.20.II.A: Only job-related information will be contained in the personnel record. Contents of each personnel file should include basic identifying information (e.g., name, address and job title), employment applications or other hiring-related documents, position descriptions, compensation records, information on benefit enrollment, attendance records, performance evaluations and information about other employment-related actions (e.g. promotions, training, or corrective action) and other job-related information. Unsolicited and anonymous materials will not be included in the personnel file unless there has been a finding of fact through an existing university investigatory process.	Active + 6 years *Archival Review*	Active = employee's service with the university. As per OSU Personnel Records Policy 1.20.II.B: The following documents belong in the controlled access file and must be maintained separate from the personnel file: education records, medical records, confidential investigatory records, intellectual property records, promotion and tenure records and attorney-client communications. When an employee transfers from one employing unit to another, these files must be forwarded to the new employing unit. For final disposition, departments transfer files to University Archives after weeding of non-permanent records, i.e. PARs, leaves of absence, faculty activity reports.

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Human Resources Records

Record Series	Retention and Disposition	Notes
Personnel Records, Non-Faculty	Active + 6 years	Active = employee's service with the university.
		As per OSU Personnel Records Policy 1.20.II.B: The following documents belong in the controlled access file and must be maintained separate from the personnel file: education records, medical records, confidential investigatory records, intellectual property records, promotion and tenure records and attorney-client communications. When an employee transfers from one employing unit to another, these files must be forwarded to the new employing unit.
As per OSU Personnel Records Policy 1.20.II.A: Only job-related information will be contained in the personnel record. Contents of each personnel file should include basic identifying information (e.g., name, address and job title), employment applications or other hiring-related documents, position descriptions, compensation records, information on benefit enrollment, attendance records, performance evaluations and information about other employment-related actions (e.g. promotions, training, or corrective action) and other job-related information. Unsolicited and anonymous materials will not be included in the personnel file unless there has been a finding of fact through an existing university investigatory process.	*Destroy - Secured*	

General Records Retention Schedule

Human Resources Records

Record Series	Retention and Disposition	Notes
Personnel Records, Student	Active + 6 years	Active = employee's service with the university.
		As per OSU Personnel Records Policy 1.20.II.B: The following documents belong in the controlled access file and must be maintained separate from the personnel file: education records, medical records, confidential investigatory records, intellectual property records, promotion and tenure records and attorney-client communications. When an employee transfers from one employing unit to another, these files must be forwarded to the new employing unit.
As per OSU Personnel Records Policy 1.20.II.A: Only job-related information will be contained in the personnel record. Contents of each personnel file should include basic identifying information (e.g., name, address and job title), employment applications or other hiring-related documents, position descriptions, compensation records, information on benefit enrollment, attendance records, performance evaluations and information about other employment-related actions (e.g. promotions, training, or corrective action) and other job-related information. Unsolicited and anonymous materials will not be included in the personnel file unless there has been a finding of fact through an existing university investigatory process. Includes documentation of work-study and non-work-study students.	***Destroy - Secured***	
Position Description	3 years Destroy	n/a

General Records Retention Schedule

Human Resources Records

Record Series	Retention and Disposition	Notes
Promotion & Tenure Files: Local Copy	1 year	Office of Academic Affairs is the "office of record." The "local copy" is maintained during the decision making year. Destroy in a way that protects confidentiality. See also: "Faculty 4th Year Review Files with Review by OAA: Local Copy" and "Faculty 4th Year Review Files without Review by OAA" for appropriate retention and disposition of 4th year review materials.
Local copy of faculty dossier that consists of copies of documentation of teaching, research, and community service.	***Destroy - Secured***	
Search Committee Records	3 years	n/a
Includes job posting, lists of candidates, final report, resumes/CV, or any other documentation submitted or used by the search committee in support of a candidate.	***Destroy - Secured***	
Self-Disclosure of Criminal Convictions Documentation	Active + 6 years	Active = while employee is in service to that particular unit. Retained separately from the individual's personnel file and are not forwarded if the employee changes units.
Documentation required of employees to self-disclose convictions if they occur while employed with the university. This documentation may include but is not limited to: e-mail, word processed document, or hand written note.	***Destroy - Secured***	

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Record Series	Retention and Disposition	Notes
Disaster Preparedness and Recovery Plans Records related to reestablishment of data processing services in case of a disaster.	Active + 10 years *Destroy - Secured*	Active = until plan is superseded.
Help Desk Logs and Reports Consists of 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 to compile monthly and annual statistics, and for reference for planning, management analysis, and other administrative purposes.	1 year *Destroy - Secured*	n/a
Information System Users' Access Records Records created to control individual access to a system for administrative and security purposes.	Active + 6 years *Destroy - Secured*	n/a
Information Systems Backup Files Copies of master files or databases, application software, logs, directories, and other documentation needed to restore a system in case of a disaster or inadvertent destruction.	Until Superseded *Destroy - Secured*	These are files that are maintained solely for business continuity and disaster recovery purposes and SHOULD NOT be maintained as a historical archive of the information system.

General Records Retention Schedule

Information Technology Records

Record Series	Retention and Disposition	Notes
Information Systems Documentation	Active + 3 years	Active = life of the system; Review for continuing historical value.
Including: Application Development Files (Records created and used in the development, redesign, or modification of an automated system or application. These may include project management records, status reports, draft system or subsystem specifications, draft user requirements and specifications, and memoranda and correspondence.); Source Code; Information Systems Specifications (User and operational documentation describing how an application system operates from a functional user and data processing point of view. May include records documenting data entry, manipulation, output and retrieval, records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications.); Data Documentation (Records necessary to access, retrieve, manipulate and interpret data in an automated system. May include data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.); Hardware Documentation (Records documenting the use, operation, and maintenance of an agency's data processing equipment.); and Conversion/Migration Plans (Records that deal with the replacement of equipment or computer operating systems due to hardware/software obsolescence or maintenance.).	*Destroy - Secured*	
Information Systems Equipment Support Files	Active + 3 years	Active = life of the system.
Information on data processing equipment, software, and other products and their vendors. Record of support services provided for specific data processing equipment, including site visit reports, service reports, service histories, and correspondence.	Destroy	
Information Systems Input Documents	Until Superseded	Destroy after input information is verified.
Forms used for data input and control.	*Destroy - Secured*	

General Records Retention Schedule

THE OHIO STATE UNIVERSITY

Information Technology Records

Record Series	Retention and Disposition	Notes
Information Systems Log Files	90 days ***Destroy - Secured***	n/a
Information Systems Policies Policies for data processing, including access, security, systems development, data retention and disposition, and data ownership. Records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.	Active + 10 years Destroy	Active = until policy is superseded; Review for continuing historical value.
Information Systems Usage Files Records created to monitor computer system and network usage including but not limited to log-in files, system usage files, data entry logs, and records of individual computer program usage.	90 days ***Destroy - Secured***	n/a

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THE OHIO STATE UNIVERSITY — General Records Retention Schedule

Legal Records

Record Series	Retention and Disposition	Notes
Contracts Contracts with parties external to OSU.	Active + 8 years *Destroy - Secured*	Active = while contract is in effect.
Intellectual Property Rights Documentation Copyright, Patents, Trademarks & Service Marks	Active + 6 years *Archival Review*	Active = life of the intellectual property right; Review for continuing administrative or historical value.
Internal Agreements Agreement with parties within OSU that include, but are not limited to, Memorandums of Understanding (MOUs) and Service Level Agreements (SLAs).	Active + 3 years *Destroy - Secured*	Active = while agreement is in effect.
Laboratory Inspection Reports Periodic inspections of laboratories.	Active + 3 years *Destroy - Secured*	Active = until inspection is superseded.
Real Estate Records: Local Copy Local copies (college/school/department/unit) of deeds and leases, documenting real property purchased or leased by the university or college.	Active + 8 years Destroy	Active = while property is owned or leased by the University; Archives receives originals from Real Estate & Property Management

THE OHIO STATE UNIVERSITY
General Records Retention Schedule

Student & Course Records

Record Series	Retention and Disposition	Notes
Admission Files, Accepted	Active + 1 year	Active = the term of admission.
		Form letters regarding admission and/or enrollment at the institution.
Includes letters of reference, application, biographical data and letters regarding admission and/or enrollment for applicants accepted to a program of study within the university.	***Destroy - Secured***	
Admission Files, Rejected	1 year	n/a
Includes letters of reference, application, and biographical data for rejected applicants and those who did not complete dossier.	***Destroy - Secured***	
Advising Files	Active + 3 years	Active = while student is enrolled at the University.
Includes notes about student, possible courses the student would take, and correspondence with student	***Destroy - Secured***	
Annual Interim Federal Grant Fiscal Reports	Active + 6 years	Active = while grant is active.
Reporting to federal government on expenditures for federal grant programs.	Destroy	
Course Change Requests: Local Copy	Active + 1 year	Office of Academic Affairs is the office of record.
Application to Council on Academic affairs to change, add, or delete a course.	Destroy	
Course Syllabi	10 years	Archives retains course descriptions published in catalogs and bulletins permanently.
	Destroy	

THE OHIO STATE UNIVERSITY
General Records Retention Schedule

Student & Course Records

Record Series	Retention and Disposition	Notes
Curriculum Development Documentation: Local Copy	Indefinite	Office of Academic Affairs provides University Archives with official copy. Local copy maintained until no longer administratively needed.
Files documenting approval of new programs and degrees.	Destroy	
Evaluations, Class/Course	5 years	n/a
Summary evaluations of course by students.	*Destroy - Secured*	
Grade Reports	Active + 2 terms	Active = term in which course is taught.
		Registrar maintains the official record permanently per university rules 3335-7-231(B) and 3335-7-23(A).
Faculty grade reports	*Destroy - Secured*	
Graduation Authorizations	Active + 1 year	Active = term in which graduation is attained.
Documents certifying completion of degree requirements.	*Destroy - Secured*	
Requests and Disclosures of Personally Identifiable Information	Active + 3 years	Active = employee's service with the university.
	Destroy - Secured	
Roster, Class	1 year	n/a
Contains names of students for each course; issued by registration services	*Destroy - Secured*	
Scholarships Administered by Colleges/Departments:	3 years	n/a
Administrative information regarding local scholarship programs including applications, awards, recipients, etc., but not fiscal data.	*Destroy - Secured*	

THE OHIO STATE UNIVERSITY
General Records Retention Schedule

Student & Course Records

Record Series	Retention and Disposition	Notes
Student Coursework: Not Used for Grading	Transient *Destroy - Secured*	n/a
Student Coursework: Used for Grading May include: student assessments, tests, examinations, quizzes, papers, projects, blog postings, online discussion, etc. maintained in a course management system, by the instructor, and/or by the educational unit, leading to a grade and to a posting on the official student record of the registrar.	Active + 2 terms *Destroy - Secured*	Active = term in which course is taught. As per university rules 3335-7-231(B) and 3335-7-23(A).
Student Records, Accepted and Enrolled Record of academic work pursued. Correspondence, recruitment, references and recommendations, entrance exams, Advanced Placement documentation (scores valid for 5 years), residency documentation, Form I-20 (visa) for foreign students, application for graduation, and placement documentation.	Active + 1 year *Destroy - Secured*	Active = while student is enrolled at the University. Registrar is the office of record.
Student Records, Accepted but not Enrolled Student-specific correspondence relating to admission and enrollment at the institution. Correspondence, recruitment, references and recommendations, entrance exams, Advanced Placement documentation.	1 year *Destroy - Secured*	n/a
Student Records, Rejected May include correspondence, recruitment, references and recommendations, entrance exams, and portfolio.	1 year *Destroy - Secured*	n/a

THE OHIO STATE UNIVERSITY
General Records Retention Schedule

Student & Course Records

Record Series	Retention and Disposition	Notes
Student Requests for Nondisclosure of Directory Information	Active + 3 years ***Destroy - Secured***	Active = while student is enrolled at the University.
Student's Written Consent for Records Disclosure	Active + 3 years ***Destroy - Secured***	Active = while student is enrolled at the University.