



**THE OHIO STATE
UNIVERSITY**

GENERAL RECORDS RETENTION SCHEDULE

UPDATED 1 JANUARY 2020

INTRODUCTION

In accordance with the [University Records Management Policy](#) and [Ohio Revised Code 149.33\(B\)](#), the university records management program is responsible for establishing a program for managing the retention and disposition of university records. These processes are also a part of the university's [Information Security Control Requirement](#) DAT3 as a means of risk management.

A **records retention schedule** is a legally mandated tool that classifies records created, sent or received by the university, and provides instruction for records retention and disposition. Records are grouped by **record series**: related records that contain the same types of information and are filed and/or used together as a unit. Retention schedules cover records on any media format, including paper and electronic.

Ohio State's **General Records Retention Schedule (General Schedule)** guides the management and disposition of university record series that are common to multiple units across campus. All Ohio State units should be familiar with the *General Schedule* and how the unit's records align to it.

Some units have records, not found on the **General Schedule**, that are unique to their operations. These records series should be listed on unit **unique retention schedules**. If a unit identifies record series that do not map to the *General Schedule*, the unit should contact University Records Management to discuss the creation of a unique schedule. All retention schedules, general or unique, are developed and approved by University Records Management in consultation with campus and unit representatives.

SCHEDULE REVISIONS KEY

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 records series are held by centralized campus units and should **not** be maintained locally*:

- **ACCOUNTS PAYABLE**
 - Invoices are scanned into EDMS (OnBase) and integrated with PeopleSoft
- **KEY CONTROL**
 - Keyholder database
- **OFFICE OF ACADEMIC AFFAIRS**
 - Promotion and Tenure documents (with the exception of Faculty 4th Year Review files not reviewed by OAA)
- **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**
 - Course 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**
 - Certificates of Records Destruction

*It is recommended that local units retain paper documents that have been scanned for 60 days as a quality control measure.

OSU is in the process of migrating from PeopleSoft to Workday as a centralized administrative system for many Finance, Human Resources, and Student records. While the system name(s) may change over time, the retention periods for the records contained within the systems should remain the same. Records Management will be monitoring these processes and how retention and disposition might be affected.

DISPOSITION

Effective records management includes the timely disposition and documentation of obsolete records. There are currently five (5) general disposition options:

- **Destroy – Secured:** Record series which contain “Private” or “Restricted” information, as defined in Ohio State’s Institutional Data Policy (<https://ocio.osu.edu/sites/default/files/assets/Policies/InstitutionalData.pdf>) **must be** destroyed in a secure manner such as incineration, maceration, shredding (most common method), pulping, or secure electronic destruction. Secure destruction is recommended but not required for information identified as “Internal”.
- **Destroy:** Record series which contain no restricted information may be put in the trash, recycled, or fully deleted. The secure destruction methods above may also be used.
- **Permanent within Department or Unit:** Records series with a demonstrated legal or administrative need to a particular unit will be maintained permanently within the unit.
- **Archival Review:** Record series with selective content that may be of value to University Archives in documenting Ohio State’s history, and should be submitted to the University Archives for review. (Records sent to the Archives should not be included on a Certificate of Records Destruction. The transfer will be noted on Archives documentation.)
- **University Archives:** Records series that have significant value in documenting Ohio State’s history must be transferred to the University Archives. Please follow the procedures detailed at: <https://library.osu.edu/osu-records-management/transfers>. (Records sent to the Archives should not be included on a Certificate of Records Destruction. The transfer will be noted on Archives documentation.)

Before actually disposing of the records (including deletion of electronic records or authorizing offsite storage vendors), the Ohio State unit should complete and forward a Certificate of Records Destruction (CRD) (go.osu.edu/crd) to University Records Management for review and approval. Units are strongly encouraged to conduct records purges on a routine basis, at a minimum of annually.

CRDs are not required if:

- The retention period is listed as *transient*
- The records are saved to a different format (such as paper to electronic) as part of a unit’s routine workflow

Note: Any records under a preservation notice, litigation hold, reasonably anticipated litigation, or in open public records requests should not be destroyed until the issue is resolved.

RETENTION TERMINOLOGY (UPDATED)

Record retention is either a set period of time or event-driven. Below is retention period terminology and abbreviations commonly used in Ohio State University retention schedules:

Abbreviation	Definition
3 CYCLES	This retention period pertains to the retention of electronic back-up files.
3Y, 4Y, etc.	3 years, 4 years...
ACT, ACT+1, ACT+2, etc.	Active+: The final disposition clock starts once the active period is over. <i>Example: Strategic Plans must be retained 1 year after a new strategic plan is adopted.</i>
CR+1, CR+2, etc.	Creation date + 1 year, Creation date + 2 years, Creation date + 0 years/2 months etc.
CY, CY+1, CY+2, etc.	Current Year (through December 31 of the year the record is created), Current Year + 1 year, Current Year + 2 years...
FY	Fiscal Year (July 1-June 30)
INDEFINITE	Records required to be maintained for a significant period of time and possibly permanently. Their status should be reappraised periodically.
LOB	Life of Building+: Similar to "Active+" but pertains specifically to buildings. The retention period begins when a building is destroyed or sold.
PRM	Permanent
SUP	Until Superseded: Documents that are routinely updated and superseded by the current version.
TRANSIENT	Documents including telephone messages, some emails, drafts, etc., which have temporary value. Retention is not a fixed period of time and is event-driven; should be disposed of after it is superseded by the official record or no longer needed.

ELECTRONIC MESSAGES AS RECORDS (UPDATED)

Electronic messages, *such as email, texts and instant messages*, are a convenient way that we convey information, similar to sending paper mail through the postal service. If an electronic message documents university business, it must be managed as a university record. The retention period for each message is based upon the content and informational value of the electronic message, not technology through which it is transmitted or stored. Review and evaluate messages based on the record series described in the OSU General Schedule and unit unique retention schedules.

Keep in mind that electronic messages are comprised not just of the textual message and attachments, but also metadata (to, from, subject, time, date, system, etc.) about the message and its transmission.

MANAGING ELECTRONIC MESSAGES: The key to effectively managing electronic messages is to be proactive. Delete the non-records and any transient/transitory records that have outlived their administrative/legal/fiscal value so that what remains is the small percentage of records, sent and/or received, that retention schedules require to be managed on an on-going basis. The management of electronic messages should be approached in a manner similar to how "snail mail" is processed at work and home:

- Open the email, text, or electronic message and review the document's content:
 - ***If it is a non-record***, 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***, 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 allows that unit to effectively manage the life cycle of the record.

For more information or training on managing electronic messages, contact University Records Management.



General Records Retention Schedule

This document is a records retention schedule that governs the minimum retention and final disposition of records in compliance with policies of The Ohio State University (<https://library.osu.edu/osu-records-management/policy>) and The Ohio Revised Code.

Only those records designated by this document as destined for the University Archives should be transferred to the ARchives according to the procedures in "Instructions for Transferring Records to the University Archives."

Records to be destroyed, as designated by this document, should be destroyed by the department. A "Certificate of Records Destruction (CRD)" should be filed with the Archives at least one week prior to destruction. The CRD may be downloaded at <http://go.osu.edu/crd>.

The OSU General Schedule for Records Retention and Disposition can be downloaded at <http://go.osu.edu/records>.

Authorizer

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Job Title

University Records Manager

Date Authorized

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/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
Accounts Payable Documentation	Records related to payment or receipt of financial obligations not included in the e-Request and e-Travel systems.	CR+4	Destroy - Secured	
Accounts Receivable Documentation	Amounts due from others on open accounts as a result of providing goods or services.	CR+4	Destroy - Secured	
Audits, External		CR+4	Archival Review	Review for continuing historical value and potential transfer to University Archives.
Bad Debt Documentation	Overdue account payments for services rendered (e.g. library fines, parking tickets, loans)	ACT+4	Destroy - Secured	<p>Active = after the filing of the return upon which the bad debt deduction is taken</p> <p>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</p>
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.	CR+4	Destroy - Secured	

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
Bids: Accepted	Bids may be conducted via a Request for Proposal (RFP), Request for information (RFI), Request for Bid (RFB), and reverse auction among other means.	ACT+8	Destroy - Secured	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: Rejected	Bids may be conducted via a Request for Proposal (RFP), Request for information (RFI), Request for Bid (RFB), and reverse auction among other means.	CR+3	Destroy - Secured	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.
Budget Planning File		ACT+1	Destroy - Secured	Active = while budget is current. Original maintained by University Budget Office.
Cash Register Tapes		CR+4	Destroy	
Chart of Accounts	An institutional list of the accounts and their identification coding.	CR+4	Destroy - Secured	

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
Cost Accounting Documentation	Records analyzing the cost of producing certain items or performing certain tasks.	CR+4	Destroy - Secured	
Credit Card Receipts		CR+3	Destroy - Secured	
Endowment Fund Reports, Annual	Annual report of funds received and expended by endowment accounts. May be in form of report to donors.	ACT+6	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.	CR+5	Destroy - Secured	
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.	CR+4	Destroy - Secured	
Financial Reconciliation Documentation	Reconciliation of department records to general ledger reports.	CR+4	Destroy - Secured	
Financial Report, Annual	Consolidated year-end report of financial documentation showing assets and liabilities, broken down by major funding areas, such as academic and student services areas.	CR+4	Destroy	Review for continuing historical value; Vice President of Business & Finance's Office provides Archives with official copy.

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
Financial Reports, Interim	A report of institutional assets, liabilities, expenditures, income and equities. A periodic report, not the year-end report.	CR+4	Destroy	
Fixed Assets Machinery & Equipment Documentation	Records related to the purchase, maintenance and disposition of machinery and equipment.	ACT+6	Destroy	Active = while machinery or equipment is owned by the University. This record series was previously known as "Inventory Control Record."
Journals, Cash	Documentation of institutional cash transactions and petty cash transactions, including disbursements and receipts.	CR+4	Destroy - Secured	
Journals/Ledgers, Annual	Records used to transfer charges between accounts and for summarizing account information.	CR+6	Destroy - Secured	
Monthly Sales Tax Records	Monthly forms filled out by departments that sell items which incur a sales tax.	CR+4	Destroy - Secured	University's Office of Business and Finance is the office of record, however, for audit purposes, it is recommended that business units also retain the records for 4 years.
Payroll Certification	Form that affirms an employee is on the payroll and should receive payment.	CR+1	Destroy - Secured	

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
Payroll Processing Checklist, Bi-weekly and Monthly		CR+4	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.	CR+4	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.	CR+0/2	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)		ACT+8	Destroy - Secured	Active = while the PO is in effect. If the Purchase Order exists in PeopleSoft, the University's Office of Business and Finance is the office of records, and local units should not be maintaining copies.
Registers, Bond	Listing of bonds sold, usually for building projects, showing purchaser, date redeemed, interest due, etc.	ACT+6	Destroy - Secured	Active = while bonds are active.

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
Royalty Payments		CR+4	Destroy - Secured	
Time-keeping Documentation	Includes documentation (such as timesheets or time input forms) of staff, work-study students, and non-work-study students	CR+5	Destroy - Secured	
Travel Reimbursement Support Documentation - eTravel: Local Copy	Local copies of documentation scanned into eTravel for reimbursement to university employees for university related travel.	CR+0/2	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.

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
Access Request Documentation (local copy)	Used by departments to either request a key or grant card access for staff/faculty/students.	ACT	Destroy - Secured	Active = Until the annual report following the access request is issued and reconciled. FOD Key Control is the office of record for official access requests. Units or departments may have the only copy with the final recipient signature.
Accreditation Files	University, college or department files documenting accreditation review by accrediting agencies.	CR+10	Archival Review	Review for continuing historical value and potential transfer to University Archives.

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
Administrative Reference Documents	Logs, spreadsheets or programs used to track administrative activity, tasks, or workflow progress for internal convenience.	TRANSIENT	Destroy	Continually revised or superceded
Advertising		CR+5	Archival Review	Review for continuing historical value and potential transfer to University Archives.
Annual Reports	Annual report of the originating department.	CR+3	Transfer to University Archives	One (1) copy must be transferred to the University Archives. All others may be destroyed.
Audits, Internal		CR+4	Destroy - Secured	
Calendars and Scheduling Documentation	Calendars, appointment books, schedules, itineraries and other similar records that document use of time.	TRANSIENT	Destroy	Frequently revised or superceded
Camp Registration Form		CR+1	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	CR+0/2	Destroy - Secured	
Environmental Monitoring Records		CR+5	Destroy - Secured	

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
Event / Special Projects Files	Campus and community events, special projects, lectures, and exhibit files.	CY+3	Archival Review	Major reports, products or images to be reviewed by University Archives. Destroy supporting documentation unless it is determined to have historical value.
Faculty Governance Documentation	Includes promotion and tenure policy, patterns of administration, departmental guidelines, policies, procedures, notices of guidelines, administrative memos, lists of eligible faculty.	SUP	Transfer to University Archives	Transfer to University Archives when superseded.
General Files	Consists of correspondence, meeting agendas, projects and general files not required to be maintained elsewhere on the schedule or within a unit specific schedule.	CR+1	Destroy	
General Files, Upper Administrative	Consists of files of the President's Office, deans, directors, chairs and upper-level administrators including correspondence, projects and general files not required to be maintained elsewhere on the schedule or within a unit specific schedule.	CR+3	Archival Review	Destroy all materials not documenting a signification action or interaction; transfer remainder to University Archives.

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
Grant Records, funded (non-sponsored projects)	Records documenting federal, state, corporate, or privately funded grant proposals that are not related to the Office of Sponsored Projects. May include but is not limited to: grant applications or proposals, award letters, summaries and reports, budgets, financial reports, and correspondence.	ACT+8	Destroy - Secured	Active = until grant is programmatically and fiscally closed
Grant Records, unfunded	Unfunded grant proposals for federal, state, corporate, or private grant monies. May include but is not limited to grant applications or proposals, supporting documentation, and correspondence. This series is not related to the Office of Sponsored Projects.	CR+1	Destroy - Secured	
Incident/Accident Reports		CR+3	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.	CR+3	Transfer to University Archives	Transfer to University Archives.
Motor Vehicle Records	Including copies of title, maintenance, & usage.	ACT+6	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.

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
Organizational Charts		ACT+10	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.
Periodic Reports	Documents status of on-going work; serve as support documents for annual/summary reports	CR+1	Destroy	
Policies and Procedures, Unit	Documents outlining internal unit policies, procedures, and/or operational protocol. Can include, but may not be limited to policies, procedures, manuals, and handbooks.	SUP	Transfer to University Archives	
Presentations, Training and Workshop Files	Materials and information developed, or used to develop, internal and external presentations, trainings and workshops. Can include, but is not limited to: presentation, handouts, reference materials, logistical arrangements, copies of agreements and payment information, evaluations, promotion, registration, or attendance documentation.	ACT+3	Destroy	Active = while training is being offered; until event complete; or until revised, superseded, or obsolete Certain types of training, such as HIPAA, hazardous materials, etc. may require longer retention
Press Releases		CY+3	Transfer to University Archives	
Public Records Request Files		CR+3	Destroy - Secured	

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
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.	CR+5	Archival Review	Review for continuing historical value and potential transfer to University Archives.
Reference Files / Subject Files	Files used as in-house reference materials. Can include, but may not be limited to articles and notes, often organized by topic, that employees may reference. These files do not contain original or official records.	TRANSIENT	Destroy	
Research Projects, Approved	Files containing proposal, budgets, accounting information, correspondence, and reports for grant funded and non-grant funded research.	ACT+8	Destroy - Secured	<p>Active = life of the research project and associated contractual funding.</p> <p>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.</p> <p>This series covers the administrative records of research projects. Research data records are covered under the Office of Research retention schedule.</p>
Research Projects, Rejected	Files containing proposal and correspondence for grant funded and non-grant funded research.	CR+1	Destroy	

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
Strategic Plans		ACT+1	Transfer to University Archives	Active = until strategic plan is superseded by new plan. One (1) copy must be transferred to the University Archives.
Telephone Records		CR+4	Destroy - Secured	
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	

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	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.	SUP	Transfer to University Archives	When policy is superseded, the prior policy should be transferred to the University Archives.

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	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.	CR+3	Destroy - Secured	Background checks are maintained by the Office of Human Resources.

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	Disposition	Notes
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).	CR+6	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		CR+3	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		CR+3	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. Series consists of application and supporting documentation.	ACT+6	Destroy - Secured	Active = employee's service with the university. Applications should become part of personnel file.
Application for Employment: Non-hired	Including faculty, A&P staff, CCS staff, and graduate associates. Series consists of application and supporting documentation.	CR+3	Destroy - Secured	

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	Disposition	Notes
Application for Employment: Non-hired Student Assistants	Series consists of application and supporting documentation.	CR+1	Destroy - Secured	
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.	CR+3	Destroy - Secured	
Check & Direct Deposit Distribution List & Forms		CR+1	Destroy - Secured	
Disciplinary Documentation		ACT+6	Destroy - Secured	Active = employee's service with the university.
Evaluations, Personnel	Evaluation of work performance of faculty and staff (See also Evaluations, Class/Course).	CR+5	Destroy - Secured	Unless governed by contractual agreement.
Faculty 4th Year Review Files (with review by OAA)	College-level, local copy of faculty dossier where the final review is by the Office of Academic Affairs. Consists of copies of documentation of teaching, research, and community service.	CR+1	Destroy - Secured	Office of Academic Affairs is the "office of record" when it provides the final review. The "local copy" is maintained by the college during the decision making year. Destroy in a way that protects confidentiality.
Faculty 4th Year Review Files (without Review by OAA)	Faculty dossier for which the final review is by the College. Consists of copies of documentation of teaching, research, and community service.	CR+1	Transfer to University Archives	Maintain during the decision making year, then transfer to the University Archives.

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	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	
Immigration and Naturalization Documentation	Documentation used to verify identity and employment authorization, including but not limited to Form I-9 (eligibility for employment) and Form I-20 (visa).	ACT+3	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	CR+3	Destroy	
Leave Forms, Sick & Vacation		CR+1	Destroy - Secured	Retained by departmental Human Resources.
Leaves of Absence	Requests and related documentation.	CR+5	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	CR+3	Destroy - Secured	
Letters, Congratulatory		CR+5	Destroy	

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	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.	SUP	Destroy - Secured	
Ohio Ethics Acknowledgment Statement		ACT+6	Destroy - Secured	Active = employee's service with the university.

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	Disposition	Notes
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.	ACT+6	Archival Review	<p>Active = employee's service with the university.</p> <p>As per Personnel Records Policy 1.20.I.D.2: Each record within the file must be maintained or destroyed according to the university or unit retention schedule for that specific record. If a record series is listed individually on a retention schedule, follow the retention period for the individually listed series.</p> <p>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.</p> <p>For final disposition, departments transfer files to University Archives after weeding of non-permanent records, i.e. PARs, leaves of absence, faculty activity reports.</p>

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	Disposition	Notes
Personnel Records, Non-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.	ACT+6	Destroy - Secured	<p>Active = employee's service with the university.</p> <p>As per Personnel Records Policy 1.20.I.D.2: Each record within the file must be maintained or destroyed according to the university or unit retention schedule for that specific record. If a record series is listed individually on a retention schedule, follow the retention period for the individually listed series.</p> <p>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.</p>

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	Disposition	Notes
<p>Personnel Records, Student</p>	<p>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.</p> <p>Includes documentation of work-study and non-work-study students.</p>	<p>ACT+6</p>	<p>Destroy - Secured</p>	<p>Active = employee's service with the university.</p> <p>As per Personnel Records Policy 1.20.I.D.2: Each record within the file must be maintained or destroyed according to the university or unit retention schedule for that specific record. If a record series is listed individually on a retention schedule, follow the retention period for the individually listed series.</p> <p>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.</p>
<p>Position Description</p>	<p>CR+3</p>	<p>Destroy</p>		

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	Disposition	Notes
Promotion & Tenure Files: Local Copy	Local copy of faculty dossier that consists of copies of documentation of teaching, research, and community service.	CR+1	Destroy - Secured	<p>With the exception of "Faculty 4th Year Review Files (without review by OAA), the Office of Academic Affairs retains the official promotion and tenure records. The "local copy" is maintained during the decision making year.</p> <p>Destroy in a way that protects confidentiality.</p> <p>See also: "Faculty 4th Year Review Files (with review by OAA)" and "Faculty 4th Year Review Files (without review by OAA)" for retention and disposition of 4th year review materials.</p>
Search Committee Records	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.	CR+3	Destroy - Secured	
Self-Disclosure of Criminal Convictions Documentation	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.	ACT+6	Destroy - Secured	<p>Active = while employee is in service to that particular unit.</p> <p>Retained separately from the individual's personnel file and are not forwarded if the employee changes units.</p>

/General Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
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/General Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
Disaster Preparedness and Recovery Plans	Records related to reestablishment of data processing services in case of a disaster.	ACT+10		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.	CR+1	Destroy - Secured	
Information System Users' Access Records	Records created to control individual access to a system for administrative and security purposes.	ACT+6	Destroy - Secured	
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.	SUP	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 Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
Information Systems Documentation	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	ACT+3	Destroy - Secured	Active = life of the system; Review for continuing historical value.

/General Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
	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.).			
Information Systems Equipment Support Files	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.	ACT+3	Destroy	Active = life of the system.
Information Systems Input Documents	Forms used for data input and control.	SUP	Destroy - Secured	Destroy after input information is verified.
Information Systems Log Files		CR+0/3	Destroy - Secured	
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.	ACT+10	Destroy	Active = until policy is superseded; Review for continuing historical value.

/General Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
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.	CR+0/3	Destroy - Secured	

/General Schedule/Legal Records/

Series Title	Additional Description	Retention	Disposition	Notes
Clery Records	Supporting documentation for the three most recently published Annual Security Reports and any other documents created for Clery purposes during that same time frame, such as records used to compile statistics for the annual security report, the daily crime log, and public safety notices.	ACT+5/9	Destroy - Secured	Active = October 1 publication date of Clery Annual Security Report (Note: all supporting documents start from October 1 of the annual report publication year, not from the date of each supporting document)
Contracts	Contracts with parties external to OSU.	ACT+8	Destroy - Secured	Active = while contract is in effect.
Intellectual Property Rights Documentation	Copyright, Patents, Trademarks & Service Marks	ACT+6	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).	ACT+3	Destroy - Secured	Active = while agreement is in effect.

/General Schedule/Legal Records/

Series Title	Additional Description	Retention	Disposition	Notes
Laboratory Inspection Reports	Periodic inspections of laboratories.	ACT+3	Destroy - Secured	Active = until inspection is superseded.
Participant Waivers	Waivers signed by program or event participants, guests, or parents/guardians for minor participants.	CY+1	Destroy - Secured	If incident occurs, record is covered under retention schedule for "Incident/Accident Reports."
Photo Release, Minor	Authorization for the University to use photos, video, or other media of a participant	ACT+6	Destroy - Secured	Active = while under age 18
Photo Releases, Adults	Authorization for the University to use photos, video, or other media of a participant	CR+6	Destroy - Secured	
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.	ACT+8	Destroy	Active = while property is owned or leased by the University; Archives receives originals from Real Estate & Property Management

/General Schedule/Student & Course Records/

Series Title	Additional Description	Retention	Disposition	Notes
Admission Files, Accepted	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.	ACT+1	Destroy - Secured	Active = the term of admission. Form letters regarding admission and/or enrollment at the institution.

/General Schedule/Student & Course Records/

Series Title	Additional Description	Retention	Disposition	Notes
Admission Files, Rejected	Includes letters of reference, application, and biographical data for rejected applicants and those who did not complete dossier.	CR+1	Destroy - Secured	
Advising Files	Includes notes about student, possible courses the student would take, and correspondence with student	ACT+5	Destroy - Secured	Active = while student is enrolled at the University.
Annual Interim Federal Grant Fiscal Reports	Reporting to federal government on expenditures for federal grant programs.	ACT+6	Destroy	Active = while grant is active.
Course Change Requests: Local Copy	Application to Council on Academic affairs to change, add, or delete a course.	ACT+1	Destroy	Office of Academic Affairs is the office of record.
Course Syllabi	Document written by instructor that outlines how the student's performance will be assessed for the course. May include prerequisites, objectives, assignments, course schedule, and course policies	CR+10	Destroy	Archives retains course descriptions published in catalogs and bulletins permanently.
Curriculum Development Documentation: Local Copy	Files documenting approval of new programs and degrees.	INDEFINITE	Destroy	Office of Academic Affairs provides University Archives with official copy. Local copy maintained until no longer administratively needed.
Evaluations, Class/Course	Summary evaluations of course by students.	CR+5	Destroy - Secured	

/General Schedule/Student & Course Records/

Series Title	Additional Description	Retention	Disposition	Notes
Grade Reports	Faculty grade reports	CR+1	Destroy - Secured	Registrar maintains the official record permanently per university rules 3335-7-231(B) and 3335-7-23(A).
Graduation Authorizations	Documents certifying completion of degree requirements.	ACT+1	Destroy - Secured	Active = term in which graduation is attained.
Requests and Disclosures of Personally Identifiable Information		ACT+3	Destroy - Secured	Active = employee's service with the university.
Roster, Class	Contains names of students for each course; issued by registration services	CR+1	Destroy - Secured	
Scholarships Administered by Colleges/Departments:	Administrative information regarding local scholarship programs including applications, awards, recipients, etc., but not fiscal data.	CR+3	Destroy - Secured	
Student Coursework: Not Used for Grading		TRANSIENT	Destroy - Secured	
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.	CR+1	Destroy - Secured	As per university rules 3335-7-231(B) and 3335-7-23(A).

/General Schedule/Student & Course Records/

Series Title	Additional Description	Retention	Disposition	Notes
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.	ACT+1	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.	CR+1	Destroy - Secured	
Student Records, Rejected	May include correspondence, recruitment, references and recommendations, entrance exams, and portfolio.	CR+1	Destroy - Secured	
Student Requests for Nondisclosure of Directory Information		ACT+3	Destroy - Secured	Active = while student is enrolled at the University.
Student's Written Consent for Records Disclosure		ACT+3	Destroy - Secured	Active = while student is enrolled at the University.