



**THE OHIO STATE
UNIVERSITY**

GENERAL RECORDS RETENTION SCHEDULE

Updated 22 March 2022

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.

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 Workday
- **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 Workday
- **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 has recently migrated from PeopleSoft to Workday as a centralized administrative system for many Finance and Human Resources records, and Student records will eventually move to Workday. 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://go.osu.edu/idp>) **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

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

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 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>.

Authorizer

Pari Swift

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 (Paid)	Overdue account payments, sent to collections, for services rendered (e.g. library fines, parking tickets, clinic bills, loans).	ACT+4	Destroy - Secured	Active = after the filing of the return upon which the bad debt deduction is taken 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
Bad Debt Documentation (unpaid)	Unpaid accounts for services rendered (e.g. library fines, parking tickets, clinic bills, etc.) sent to Bursar's Office for collections.	CR+15	Destroy - Secured	Verify through Bursar's Office procedures that the debt has been written-off before disposition. If active payments are being made beyond 15 years, retain until paid in full or 15 years after payments cease.

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
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	
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+6	Destroy - Secured	Active = life of associated contract. Excludes documentation relating to the lease, purchase or sale of real property, which has a longer statute of limitations per ORC 2305.04. 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.

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
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	
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	

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
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.
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	

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
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	
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.
PCard Documentation	Includes maintaining bank statement on file and storing local copies of receipt or equivalent documentation in Workday.	CR+4	Destroy - Secured	PCard application and maintenance forms are maintained in OnBase by the PCard Office.

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
PCard Documentation: Local Copy	Local copies of documentation (e.g. itemized receipts and/or equivalent documentation uploaded into Workday.	CR+0/2	Destroy - Secured	This documentation should be maintained in Workday 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+6	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.
Royalty Payments		CR+4	Destroy - Secured	
Tax Reporting>Returns - Internal Revenue Service (IRS)	Records relating to the reporting of vendor payments to the Internal Revenue Service (IRS), such as forms 1098, 1099, 5498, etc.	CR+6	Destroy - Secured	Excludes IRS Form W-9 covered by Vendor Maintenance Documentation (Business & Finance, Procure to Pay Services) and W-2 covered by Payroll Services.
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	

/General Schedule/Accounting & Financial Records/

Series Title	Additional Description	Retention	Disposition	Notes
Travel Documentation: Local Copy	Local copies of all travel related support documentation (including but not limited to itemized receipts, traveler itinerary, agency invoices, conference registration forms) or equivalent documentation uploaded into Workday.	CR+0/2	Destroy - Secured	This documentation should be maintained in Workday 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.
Administrative Reference Documents	Logs, spreadsheets or programs used to track administrative activity, tasks, or workflow progress for internal convenience.	TRANSIENT	Destroy	Continually revised or superseded
Advertising		CR+5	Archival Review	Review for continuing historical value and potential transfer to University Archives.

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
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 superseded
Camp Registration Form		CR+2	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 / Projects Files	Can include but may not be limited to campus and community events, lectures, exhibit files, special projects, committee or working group outcomes, products or results.	CY+3	Archival Review	Major reports, products or images to be reviewed by University Archives. Destroy supporting documentation upon expiration of retention unless it is determined to have historical value. If a more specific record series applies to any given event or project (ex. building projects, information technology projects, etc.) or record within a project (ex. contract, agreement, minutes, etc.), use the retention of the more specific record series
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, foundation 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+6	Destroy - Secured	Active = until grant is programmatically and fiscally closed
Grant Records, unfunded	Unfunded grant proposals for federal, state, corporate, foundation 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 Governance	<p>Policies and governance procedures and documentation which support the overall vision, mission, and major initiatives of the unit.</p> <p>Can include, but is not be limited to mission and vision statements, strategic plans, unit goals, committee oversight documentation, and policies and procedures for faculty governance, student advisory programs, emergencies, chair/dean/faculty appointments and other governance processes and activities.</p>	SUP	Transfer to University Archives	Retention = Until Revised, Superseded, or Obsolete, then transfer one copy to University Archives

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
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	
Procedures, Unit Operations	Documents outlining internal unit procedures and/or operational protocol not rising to the level of governance procedures. Often these procedures guide day-to-day staff processes for uniformity and accuracy.	SUP	Destroy	Retention = Until Revised, Superseded, or Obsolete
Public Records Request Files		CR+3	Destroy - Secured	
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.

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
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 Data Records	Research Data, sponsored and non-sponsored, records include laboratory notebooks, electronic files and all other primary records that are necessary for the reconstruction and evaluation of the results of research and the events and processes leading to those results, regardless of the form of media on which they are recorded or maintained.	ACT+5	Archival Review	<p>Retention is Active +5, unless otherwise specified by the contract or funding source.</p> <p>Active = Life of Research Project</p> <p>Retention requirements as outlined in the Research Data Policy.</p> <p>Upon employee separation, records should be retained within the Department or Unit until retention has been met.</p>

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
Research Projects, Approved	Files containing proposal, budgets, accounting information, correspondence, and reports for grant funded and non-grant funded research.	ACT+6	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 or Declined	Files containing proposal and correspondence for grant funded and non-grant funded research proposals that are declined or otherwise not started.	CR+1	Destroy	
Speeches, Statements, and Addresses	Speeches, statements, and addresses written and delivered by University executives and faculty in connection with University business or topics, or as a result of their position within the University.	CR+3	Transfer to University Archives	Any speeches, statements, or addresses, internal or external to OSU, from the President or Provost should be transferred to the University Archives. Internal speeches, statements, and addresses, that are not classroom lectures, from Vice Presidents, Deans or Faculty should also be transferred to the University Archives.

/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	
Training Transcripts, Individual	List of university created or authorized trainings taken by an individual while at the university. Transcript information can include, but may not be limited to individual name, course name, date completed, and certificate of completion.	ACT+6	Destroy - Secured	Active = while employed by or enrolled at the University; These are not the student academic course transcripts, which can be requested from the Registrar's Office.
Transient Materials	Non-substantive records of limited administrative value serving to convey information of temporary importance, sometimes in lieu of oral communication. They do not set policy, establish guidelines or procedures, certify a transaction, or serve as evidence or a receipt. Examples include drafts, notes, copies (not the official record), scheduling communications, and voicemail and telephone messages.	TRANSIENT	Destroy	

/General Schedule/Administrative Records/

Series Title	Additional Description	Retention	Disposition	Notes
University Policy	University policies provide specific direction for operations, administration, or programs on a university-wide basis. Policies are developed through the university policy process. They enhance the university's mission and operational efficiency, mandate action or constraints, and must be consistent with relevant statutes, regulations, bylaws, or rules. Policy process documents can include final policy proposals, feedback summaries, and endorsement/approval memorandums, and policies and signature pages.	SUP	Transfer to University Archives	Whenever a policy issuance or change becomes effective, submit the policy and signature page (if applicable) to the University Archives. All other policy process documents can be disposed of at the end of the retention period.

/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	n/a	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	n/a	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.

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	Disposition	Notes
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.
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).

/General Schedule/Human Resources Records/

Series Title	Additional Description	Retention	Disposition	Notes
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	
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
Personnel Records, Student	<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>	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>
Position Description		CR+3	Destroy	

/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
Application Management	<p>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 and sub-system definitions, system flowcharts, architectural diagrams, program descriptions and documentation, job control or work flow records, system specification, and input and output specifications.</p> <p>Records related to the development of new functionality and architecture for computer systems, devices, application service providers (ASPs) or software as a service (SAAS) including changes and updates. Includes OSU proprietary source code; user requirements, design documents, development, testing and move to production documentation; conversion and migration plans; including security, compliance, controls evaluations and risk assessments.</p> <p>Data Documentation (Records necessary to access, retrieve, manipulate and interpret data in an automated system. May include</p>	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
	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.)			
Data Protection and Privacy Investigations	Records related to investigations for unauthorized access, use, disclosure, disruption, modification, perusal, inspection, recording, destruction or any breach or attempted breach of the Company's systems or information. Can include, but may not be limited to audit trails. systems logs or data referenced, research, notes. and reports or final products.	ACT+6	Destroy - Secured	Active = until the investigation is closed
Disaster Preparedness and Recovery Plans	Records related to reestablishment of data processing services in case of a disaster.	ACT+10	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.	CR+1	Destroy - Secured	

/General Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
Information System Test Records	Testing records and associated documentation in support of the following activities: monitoring and testing system quality and performance; routine or benchmark data sets and test results; and system design, modification, replacement, upgrade or data migration. Testing records include but are not limited to log file, test run execution and results, test data sets, data files.	CR+2	Destroy - Secured	Excludes records explicitly covered by Application Management and System Technical Administration series.
Information System Users' Access Records	Individual, and privileged access requests, approvals/authorization including paper or digital forms for applications, servers, network, etc. Records created to control or monitor individual and privileged access to a system not limited to user account records, security logs and password files Signed employee confidentiality agreements.	ACT+6	Destroy - Secured	Active = until access is removed

/General Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
Information Systems Backup Files	<p>This policy refers to backups of data including user data, database data, server data and all other servers/systems.</p> <p>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.</p>	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.
Information Systems Log Files		CR+0/3	Destroy - Secured	
Information Systems Usage Files	<p>Audit Trails: Routine Administrative Information</p> <p>This record series consists of system-generated audit trails tracking events relating to records in information systems used for routine administrative activities. Audit trails link to specific records in a system and track such information as the user, date and time of event, and type of event (data added, modified, deleted, etc.).</p>	CR+0/3	Destroy - Secured	

/General Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
Project Management Documentation	<p>Project Plans and Charters This record series includes records pertaining to development, redesign or modification of a computer system or application.</p> <p>Pre-project Plans: This series consists of pre-project proposals, cost benefit analysis, risk assessments, sign-off and decision documents, and fit/gap analysis for project work, progress reports, plans and accomplishments</p> <p>Project Charters: (including scope, requirements, roles, timeline, budget, control strategies);</p> <p>Project Plans: (including WBS(Work Breakdown Structure), staffing, schedule, budget, communication plan, change management plan, change management risk plan, support transition plan).</p>	ACT+3	Destroy - Secured	Active = Life of project

/General Schedule/Information Technology Records/

Series Title	Additional Description	Retention	Disposition	Notes
System Technical Administration	This record series consists of proprietary and non-proprietary software as well as related documentation that provide information about the content, structure, and technical specifications of computer systems necessary for retrieving information retained in machinereadable format. This includes changes, problems, additions/deletions, operational status and OSU proprietary source code. May include records necessary for using the system including user guides, ssystem operation guides, system and sub-system definitions, system flowcharts, program descriptions and documentation, job control or work flow records, system specification, and input and output specifications. Includes test plans, conversion and migration plans .	ACT+3	Destroy - Secured	Active = life of the system; Review for continuing historical value.
Technical Support Requests	Records that chronical requests for system or application technical support which includes issue, request for information, reponse and resolution including site visit reports, service reports, service history and correspondance. Applies to software, hardware, networking, etc. (Excludes desktop support.)	ACT+3	Destroy	Active = life of the system.

/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+6	Destroy - Secured	Active = while contract is in effect. Excludes contracts for the lease or sale of real property, which have a longer statute of limitations per ORC 2305.04.
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.
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+2	Destroy - Secured	If incident occurs, record is covered under retention schedule for "Incident/Accident Reports."

/General Schedule/Legal Records/

Series Title	Additional Description	Retention	Disposition	Notes
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.
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, Undergraduate	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.

/General Schedule/Student & Course Records/

Series Title	Additional Description	Retention	Disposition	Notes
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 Materials: Not Used for Grading	Materials developed for and used in courses, including eLearning materials. Can include, but may not be limited to Exams and assessments (templates), chats, discussions, blog postings, wiki postings, and recordings.	TRANSIENT	Destroy	
Course Materials: Used for Grading	Materials developed for and used in courses, including eLearning materials. Can include, but may not be limited to Exams, assessments, chats, discussions, blog postings, wiki postings, and recordings.	ACT+1	Destroy	Active = until superseded or no longer used. Material in CARMEN maintained by OSU; material elsewhere is the responsibility of the instructor.
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.

/General Schedule/Student & Course Records/

Series Title	Additional Description	Retention	Disposition	Notes
Evaluations, Class/Course	Summary evaluations of course by students.	CR+15	Destroy - Secured	
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.
Learning Support Consultation Form	Intake or appointment forms used by academic success centers, teaching and learning centers and other tutoring and academic support programs. Forms can include, but may not be limited to, basic information about the student, type of tutoring or consultation sought, information about the assignment or course, and a summary of the topics covered or services provided. Information gathered is often used for statistical reporting.	CR+1	Destroy - Secured	
Requests and Disclosures of Personally Identifiable Information		ACT+3	Destroy - Secured	Active = employee's service with the university.

/General Schedule/Student & Course Records/

Series Title	Additional Description	Retention	Disposition	Notes
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 3335-8-23(A) and 3335-8-23.1.
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.

/General Schedule/Student & Course Records/

Series Title	Additional Description	Retention	Disposition	Notes
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.