RECORDS RETENTION FOR PUBLIC COLLEGES AND UNIVERSITIES IN OHIO

A MANUAL

(MODEL SCHEDULE ONLY)
MAY 2009 REVISION

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INTRODUCTION

This edition of *Records Retention for Public Colleges and Universities in the State of Ohio: A Manual* supersedes the version completed in 1992 and subsequently updated in 1994 and 2000. Users will find several important changes:

- ➢ presentation in a searchable PDF
- ➢ elimination of redundant record series
- ➢ consolidation of similar record series
- ➢ development of a hierarchical arrangement framework
- ➢ the assignment of a unique IUC code to each record series
- ➢ utilization of controlled vocabulary

Probably the greatest change is that this work will stay current with state and federal laws governing records retention and will promptly reflect any legal modifications. The Inter-University Council of Ohio (IUC) has a contract with Information Requirements Clearinghouse (IRCH) to use its software and its on-going database of legal research. Three times each year, the IUC will receive updates from IRCH, and will revise the manual for its member institutions.

These changes aside, the purpose of this manual remains the same:

> *...to determine the minimum retention and disposition of records as required by law and sensible practice.* [1]

This manual continues to provide a method for evaluating records by function and by

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[1] The Ohio Revised Code (149.011G) defines a record as "…any document, device, or item, regardless of physical form or characteristic[1], created or received by, or coming under the jurisdiction of, any public office of the state or its political subdivisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office." As stated in The Ohio Revised Code 149.33(B) "The boards of trustees of state-supported institutions of higher education shall have full responsibility for establishing and administering a records program for their respective institutions. The boards shall apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposition of the records of their respective institutions."

legal concern that would be true for all public colleges or universities, even though the titles of records or files might be different at each campus. To accomplish this, there are five distinct parts, which follow the model illustrated in Donald Skupsky's *Records Retention Procedures* (Denver, Colorado: Information Requirements Clearinghouse, 1990) and are derived utilizing IRCH's software:

➢ IUC Records Retention Matrix (records retention rules) [not included in this version]
➢ Legal Group Index [not included in this version]
➢ Legal Research Index [not included in this version]
➢ Legal Group Index with Legal Research [not included in this version]
➢ IUC Model Retention Schedule (standard records series)

 Each part of this manual is inter-related. The IUC Records Retention Matrix is a list of functions or activities (retention rules) that records perform at all universities or colleges. This Matrix is linked to a Legal Group Index that describes and categorizes legal concerns related to the function performed by the record.

Example:

Matrix ID	Title	Description
ACC1000	Accounting - Accounts Payable/Receivable	Records related to payment of financial obligations and receipt of revenues. Includes vouchers, vendor invoices and statements; payroll and payroll deductions, contributions, and other income.)

This is linked to:

Legal Group ID	Title	Description	Legal Considerations	Legal Requirements
ACC000	Accounting/Tax - General	Includes tax assessment or specific tax requirements for accounts payable, accounts receivable, etc.	≤3 years (128 citations)	≤4 years (19 citations)

In this example, the Legal Requirement of a minimum 4 years retention trumps the Legal Consideration's minimum of 3 years; therefore, the minimum retention, before final disposition for ACC1000 is 4 years. This is graphically represented below.
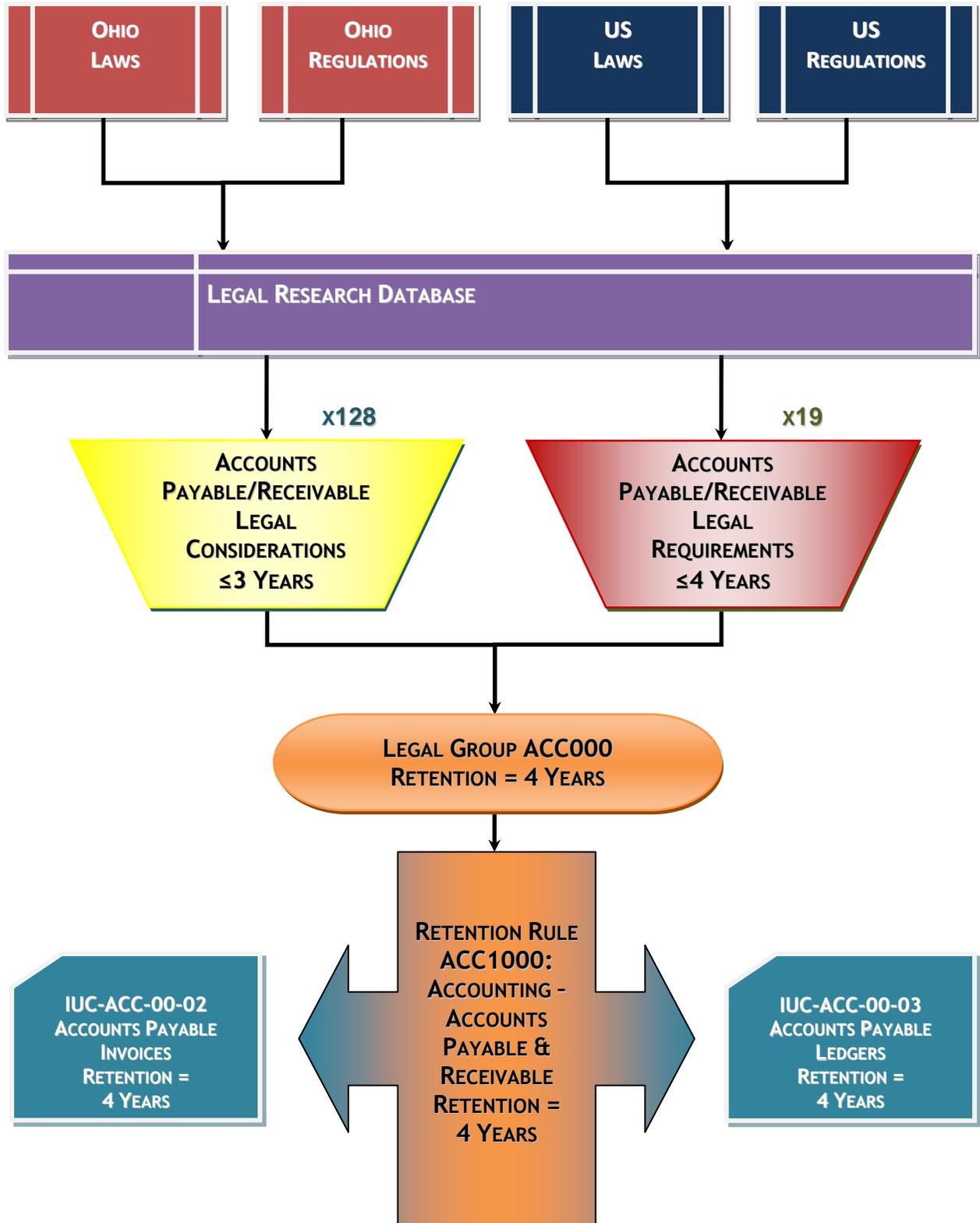
Figure1: Skupsky Model

Finally, there is the Records Retention Schedule itself, which assigns each records series a period of retention, as derived from a records retention rule from the Matrix.

The Records Retention Schedule is the document that most users will employ in deciding the retention and disposition of specific records at individual campuses. Included in this manual is the IUC Model Records Retention Schedule, which presents the "typical" record series that our institutions of higher learning have and manage. While any of the IUC institutions is free to utilize the Model Schedule as presented, each college or university will likely make adaptations to this prototype to reflect the record titles found within its local institutional departments, units, or offices.

It is important, even critical, to reiterate that each title of the prototype cites a retention rule ID from the Matrix. The use of this number serves two purposes:

- it provides a justification or explanation for the retention and disposition of the record
- it enables the college or university to alter the retention of existing titles in compliance with changes in law or regulation.

RETENTION ABBREVIATIONS

ACT	While Active
ACT+#	While Active + # of years
CY	Current Year
CY+#	Current Year + # of years
IND	Indefinite Retention (aka Permanent)
LOB	Life of Building
LOB+#	Life of Building + # of years
SUP	Until Superseded

RECORDS MANAGEMENT PROGRAM

Why do we care about our retaining and managing our records? Because they are our organization's institutional memory that:

➢ document our management decisions

➢ provide historical references of transactions and events

➢ enhance our organization's operational efficiencies

➢ demonstrate regulatory compliance

➢ provide litigation support

All records have a lifecycle, albeit some longer than others. Records are created or received, used, kept for valid legal, fiscal, or administrative reasons, and more likely than not destroyed at the end of their lives, although some with enduring historical value will be maintained in an archives.
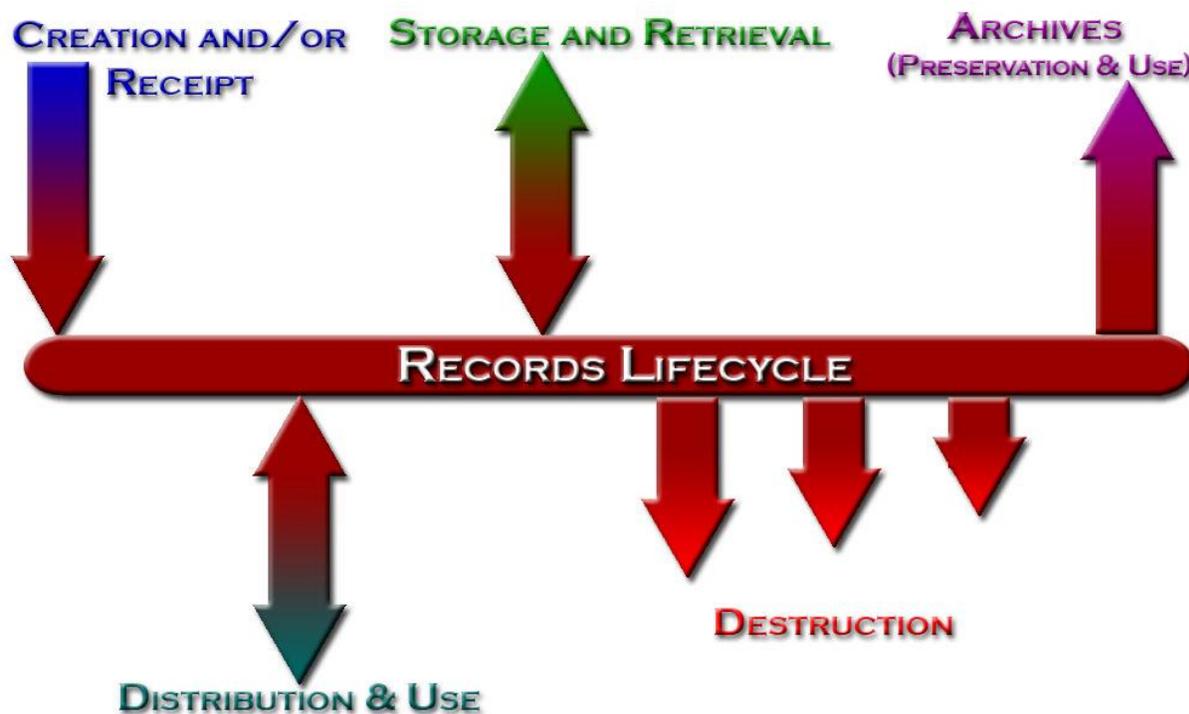

Figure 2: Records Lifecycle (Courtesy of The Ohio State University Archives)

The use of a records retention schedule is one component of a larger more comprehensive records management program that manages records throughout their lifecycles. A robust and comprehensive records management program should include:

- ➢ an inventory of an organization's records—paper based and electronic
- ➢ a records retention schedule
- ➢ a mapping of the inventory to the records retention schedule
- ➢ policy and procedures for
    - ✓ the storage and retrieval of records
    - ✓ the conversion records (if necessary)
    - ✓ a vital records[2] program
    - ✓ disaster prevention and recovery
    - ✓ the appropriate disposal of records through destruction or transfer to an archives

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[2] Vital records are those essential organizational records needed to meet operational responsibilities under emergency or disaster conditions. An organization needs to ask themselves: *"What records are absolutely crucial to our business operation that will need to be recreated from backup copies if the originals are lost or inaccessible in a disaster?"* Typically these are shorter-term records that have legal and fiscal implications and amount to approximately 1% to 7% of an organization's records.

RECORDS RETENTION

There are five (5) general categories of retention:

> **INDEFINITE:** Records with an indefinite retention period are documents (including email and other electronic records) which have significant administrative, legal, and/or fiscal value; further, they have an enduring historical value and therefore may be accessioned by and maintained in an archive forever.

> **LONG-TERM:** Records with a long-term retention period are documents (including email and other electronic records) which have significant administrative, legal, and/or fiscal value and have a life that is typically longer than ten (10) years. Upon expiration of that retention period, the records should be disposed in an appropriate manner as soon as possible, providing there is no legal hold.

> **INTERMEDIATE:** Records with an intermediate or short-term retention period are documents (including email and other electronic records) of significant administrative, legal, and/or fiscal value having a definitive life, typically ten (10) years or less. Upon expiration of that retention period, the records should be disposed in an appropriate manner as soon as possible, providing there is no legal hold.

> **TRANSIENT:** Transient or transitory records have a very short-lived administrative, legal or fiscal value and should be disposed in an appropriate manner once that administrative, legal or fiscal use has expired, providing there is no legal hold. Typically the retention is not a fixed period of time and is event driven; it maybe a short as a few hours and could be as long as several days or weeks. Transient/transitory records may include, but are not limited to:
> - ✓ preliminary drafts (when superseded)
> - ✓ memoranda (paper-based or email) pertaining to scheduling an event

- ✓ documents designated as superseded or as-updated
- ✓ user copies (not original document)
- ✓ routing slips

- ➢ **NON-RECORD**: A non-record is any document, device, or item, regardless of physical form or characteristic, created or received that DOES NOT serve to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office. Non-records may include, but are not limited to:
  - ✓ personal correspondence
  - ✓ non-university publications
  - ✓ Listserv® materials
  - ✓ junk mail/spam
  - ✓ catalogs
  - ✓ journals, books, other library materials
  - ✓ faculty papers (Faculty papers are the property of the faculty member, not the university and as such are not university records; however, in some cases a university's archives may be interested in collecting faculty papers.)

It is important to note that a significant amount of documents that we handle on a daily basis fall into the final two categories: transient retention or non-records. When we routinely and appropriately dispose of these records, we can more effectively expend our energies on managing those records of intermediate, long term, and indefinite retention that require our attention. If we do not perform these routine disposals of records with extremely short retention periods, we run the risk of generating such large volumes of these documents, that we will overwhelm our ability to effectively manage our records of consequence.

In handling of these documents, one needs to consider how they handle their "snail mail" at work and home:

> ➤ Review the documents content; this may mean thoroughly reading the document, but more often than not one is able to judge just by the look of the document or a subject line:
>   - ✓ If it is a non-record, then toss it into the garbage or recycle bin (paper-based or electronic) immediately;
>   - ✓ If it is a transient/transitory record, then place it in a file or sub-file (paper-based or electronic) that is designated for periodic review and dispose of as soon as allowable.

CONCLUSION

For our IUC institutions to operate in an efficient and informed manner, we need to effectively manage our records and information assets. In effectively managing our institutional records, we are able to:

- ➤ document our management decisions
- ➤ provide historical references of transactions and events
- ➤ enhance our organization's operational efficiencies
- ➤ demonstrate regulatory compliance
- ➤ provide litigation support

This manual provides a key component of a university's records management program—the Model Records Retention Schedule and the means to adapt and expand that schedule based upon legal requirements, legal considerations and appropriate practices.

ACKNOWLEDGEMENTS

Accounting

Record Series	Retention	Retention Rule	IUC Code
Accounts Payable	4	ACC1000	IUC-ACC-00-01
Amounts owed on open account for goods or services received.			
Accounts Payable Invoices	4	ACC1000	IUC-ACC-00-02
Bill for goods or services received.			
Accounts Payable Ledgers	4	ACC1000	IUC-ACC-00-03
Accounts Payable Vouchers	4	ACC1000	IUC-ACC-00-04
Accounts Receivable	4	ACC1000	IUC-ACC-10-01
Amounts due from others on open accounts as a result of providing goods or services.			

Record Series	Retention	Retention Rule	IUC Code
Annuity Records	4	ACC1000	IUC-ACC-00-05
Statement of payroll deduction for employees' annuity plans.			
Bad Debt Actions	4	FIN6000	IUC-ACC-10-08
Overdue accounts, such as library fines, parking tickets, loans, payment for services rendered.			
Balance Sheets	4	ACC3000	IUC-ACC-30-02
A report of institutional assets, liabilities, and equities. A periodic report, not the year-end report.			
Cash Books	4	ACC1000	IUC-ACC-10-02
A report of institutional assets, liabilities, and equities. A periodic report, not the year-end report.			
Cash Disbursement Journals	4	ACC1000	IUC-ACC-00-06
A record of institution's cash transactions showing a running balance.			

Accounting	Record Series	Retention	Retention Rule	IUC Code
	Cash Journals	4	ACC1000	IUC-ACC-10-03
	Journal of cash received.			
	Cash Receipts	4	ACC1000	IUC-ACC-10-04
	Receipts for cash sales or cash received.			
	Cash Register Tapes	4	ACC1000	IUC-ACC-10-05
	Chart of Accounts	4	ACC3000	IUC-ACC-30-01
	A list of the accounts used by an organization with each account usually assigned a number or code.			
	Cost Accounting	4	ACC3000	IUC-ACC-60-01
	Record analyzing cost for producing certain items or performing certain tasks.			

Accounting	Record Series	Retention	Retention Rule	IUC Code
	Expenditure Report	4	ACC3000	IUC-ACC-30-03
	Periodic reports of expenditures, usually by department or account.			
	Fixed Assets Records	ACT+6	ACC2000	IUC-ACC-20-01
	Inventory and other information maintained on capitalized assets (structures, site improvements, machinery & equipment, information systems, furniture & fixtures, and vehicles)			
	General Ledgers	6	ACC1010	IUC-ACC-30-04
	A book containing a summary or detail of all transactions affecting the accounts of an institution. *Review for continuing historical value and transfer to institutional Archives.*			
	Invoices	4	ACC1000	IUC-ACC-00-07
	Bills for goods shipped or services rendered. Usually matched to purchase orders and delivery slips and attached to voucher for payment.			
	Journal Entries	4	ACC3000	IUC-ACC-30-05
	The means of entering details of a transaction into the accounting system. Journal entries are made in a journal and later posted to a ledger. Entry also includes a brief explanation.			

Record Series	Retention	Retention Rule	IUC Code
Journals	4	ACC3000	IUC-ACC-30-06

The record in which financial transactions are first recorded before being posted as a debt or credit to an account in a ledger. A chronological documentation of transactions.

Payroll	4	ACC1000	IUC-ACC-40-02

Change Report: Classified Staff

Bi-weekly listings of payroll adjustments processed through Personnel Services concerning full-time or part-time employee status, i.e., new employee, promotion, reclassification, leave of absence, lateral transfers, and removals. Report arranged by pay period.

Payroll	4	FIN1000	IUC-ACC-40-01

Checks

Checks paid employees for services they perform.

Petty Cash Records	4	ACC1000	IUC-ACC-00-08

Receipts	4	ACC1000	IUC-ACC-10-06

	Retention	Retention Rule	IUC Code
Registers	4	ACC1000	IUC-ACC-30-07
Requisitions	4	ACC1000	IUC-ACC-00-09
Forms used to order good and services.			
Royalty Payments	4	ACC1000	IUC-ACC-00-10
Sales Receipts	4	ACC1000	IUC-ACC-10-07
Student Accounting Records	4	ACC1000	IUC-ACC-50-01
Files on individual students' paid and unpaid accounts, including loan applications, correspondence, account activity record, etc.			

Student Accounting Records **Canceled Registration Files** Record of canceled registrations, including amount owed, reason, etc.	4	ACC1000	IUC-ACC-50-02
Student Accounting Records **Dorm Contracts** Actual agreement between students and residence halls governing room and board and fee payment agreements. Includes meal plan authorizations.	4	ACC1000	IUC-ACC-50-03
Student Accounting Records **Dorm Contracts** **Release Files** Includes application, correspondence, and record of decision reached concerning request to break contracts for room and board.	4	ACC1000	IUC-ACC-50-04
Student Accounting Records **Financial Aid** **Accounting Billing Letters** Concerns students who withdrew or reduced credit hours and were billed for the return of surplus aid money.	4	ACC1000	IUC-ACC-50-05
Student Accounting Records **Financial Aid** **Cancelled Check Records** Canceled checks, check stubs, and check journals showing payments for financial aid made to students.	4	ACC1000	IUC-ACC-50-06

Record Series	Retention	Retention Rule	IUC Code
Student Accounting Records **Financial Aid** **Disbursement Records** Statement by individual of award amounts disbursed. Contains name, type, and amount of award.	4	ACC1000	IUC-ACC-50-07
Student Accounting Records **Insurance Records** Record of students enrolled in university or college health program.	4	ACC1000	IUC-ACC-50-08
Student Accounting Records **Tuition Remission Applications** Record of tuition waiver for employees and dependents.	4	ACC1000	IUC-ACC-50-09
Subsidiary Ledgers A book of accounts of an institution.	4	ACC1000	IUC-ACC-30-08
Telephone Expense Records Periodic reports of long distance and local phone charges.	4	ACC1000	IUC-ACC-99-01

Accounting	Record Series	Retention	Retention Rule	IUC Code
	Travel Expenses	4	ACC1000	IUC-ACC-00-11
	Record of expenses incurred on official travel. Used to receive reimbursement.			
	Unemployment Insurance Payments	4	ACC1000	IUC-ACC-00-12
	Vending Commission Income Records	4	ACC1000	IUC-ACC-99-02
	Record of money received as commission on vending contracts.			
	Voucher Register	4	ACC1000	IUC-ACC-00-13
	A journal in which accounts payable and their payments are recorded.			
	Vouchers	4	ACC1000	IUC-ACC-00-14
	A record of cash disbursement used to establish control over expenditures and ensuring appropriate approval for each transaction.			

Accounting	Record Series	Retention	Retention Rule	IUC Code
	Workers Compensation Payments	4	ACC1000	IUC-ACC-40-03

Education & Student	Record Series	Retention	Retention Rule	IUC Code
	Academic Grievance Files	ACT+6	LEG4000	IUC-EDU-40-10
	Files documenting grievances of students against faculty members.			
	Review for continuing administrative and historical value and potential transfer to institutional Archives.			
	Admissions	6	LEG5000	IUC-EDU-10-20
	Applicant Flow Data File			
	Statistical information, percentages dealing with race, religion, sex, etc.			
	Admissions	ACT+1	EDU1010	IUC-EDU-10-09
	Applicants who do Matriculate			
	Advanced Placement Records			
	Forms and records supporting consideration for advanced placement in course(s) where no credit is granted.			
	Admissions	ACT+1	EDU1010	IUC-EDU-10-01
	Applicants who do Matriculate			
	Applications for Admission or Readmission			
	Forms requesting admission or readmission to the institution.			
	Admissions	ACT+1	EDU1010	IUC-EDU-10-02
	Applicants who do Matriculate			
	Correspondence			
	Forms requesting admission or readmission to the institution.			

Record Series	Retention	Retention Rule	IUC Code
Admissions	ACT+1	EDU1010	IUC-EDU-10-03
Applicants who do Matriculate			
Entrance Examination & Placement Test Reports			
Standardized test scores related to admission to the institution and placement test scores.			
Admissions	ACT+1	EDU1010	IUC-EDU-10-04
Applicants who do Matriculate			
Letters of Recommendation			
Letters of reference supporting application to the institution.			
Admissions	ACT+1	EDU1010	IUC-EDU-10-05
Applicants who do Matriculate			
Medical Records			
Medical records related to application to the institution.			
Admissions	ACT+3	EDU1020	IUC-EDU-10-06
Applicants who do Matriculate			
Personalized Recruitment Materials			
Student-specific letters related to encouraging potential student to attend the institution. *VA regulations require that all recruitment materials be retained 3 years.*			
Admissions	ACT+1	EDU1010	IUC-EDU-10-07
Applicants who do Matriculate			
Transcripts			
High School			
Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant.			

Record Series	Retention	Retention Rule	IUC Code
Admissions	ACT+1	EDU1010	IUC-EDU-10-08
Applicants who do Matriculate			
Transcripts			
Other Institutions of Higher Learning			
Records of courses taken at other post-secondary institutions and documents supporting prior learning, including credit for military training.			
Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant.			
Admissions	ACT+1	EDU1010	IUC-EDU-10-14
Applicants who do Matriculate			
Transfer Credit Evaluations			
Admissions	ACT+1	EDU1010	IUC-EDU-10-10
Applicants who do not Matriculate			
Acceptance Letters			
Student-specific correspondence relating to admission and enrollment at the institution.			
Admissions	1	EDU1100	IUC-EDU-15-10
Applicants who do not Matriculate			
Acceptance Letters			
Letters notifying students of acceptance or non-acceptance to the institution.			

Education & Student	Record Series	Retention	Retention Rule	IUC Code
	Admissions **Applicants who do not Matriculate** **Access To See Letters of Recommendation Waiver** Student waivers for rights of access to see Letters of Recommendation for Admission.	ACT+3	EDU1030	IUC-EDU-10-13
	Admissions **Applicants who do not Matriculate** **Advanced Placement Records** Forms and records supporting consideration for advanced placement in course(s) where no credit is granted.	1	EDU1100	IUC-EDU-15-09
	Admissions **Applicants who do not Matriculate** **Applications for Admission or Readmission** Forms requesting admission or readmission to the institution.	1	EDU1100	IUC-EDU-15-01
	Admissions **Applicants who do not Matriculate** **Correspondence** Forms requesting admission or readmission to the institution.	1	EDU1100	IUC-EDU-15-02
	Admissions **Applicants who do not Matriculate** **Entrance Examination & Placement Test Reports** Standardized test scores related to admission to the institution and placement test scores.	1	EDU1100	IUC-EDU-15-03

Record Series	Retention	Retention Rule	IUC Code
Admissions	ACT+3	LEG5040	IUC-EDU-10-11
Applicants who do not Matriculate			
Foreign Student Forms			
I-20 and other forms.			
Since many items included in foreign students' records are to be retained for at least five years, it is recommended that Immigration and Naturalization Service documentation also be retained five years.			
Admissions	1	EDU1100	IUC-EDU-15-04
Applicants who do not Matriculate			
Letters of Recommendation			
Letters of reference supporting application to the institution.			
Admissions	1	EDU1100	IUC-EDU-15-05
Applicants who do not Matriculate			
Medical Records			
Medical records related to application to the institution.			
Admissions	ACT+3	EDU1020	IUC-EDU-15-06
Applicants who do not Matriculate			
Personalized Recruitment Materials			
Student-specific letters related to encouraging potential student to attend the institution.			
VA regulations require that all recruitment materials be retained 3 years.			
Admissions	6	LEG5000	IUC-EDU-10-12
Applicants who do not Matriculate			
Residency Status Documents			
Documents supporting determination of legal domicile (residency).			

Record Series	Retention	Retention Rule	IUC Code
Admissions	1	EDU1100	IUC-EDU-15-07
Applicants who do not Matriculate			
Transcripts			
High School			
Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant.			
Admissions	1	EDU1100	IUC-EDU-15-08
Applicants who do not Matriculate			
Transcripts			
Other Institutions of Higher Learning			
Records of courses taken at other post-secondary institutions and documents supporting prior learning, including credit for military training.			
Some documents from institutions in other countries may be originals and therefore difficult or impossible for the applicant to replace. The records custodian may want to return these documents to the applicant.			
Classes	ACT+3	EDU1015	IUC-EDU-35-03
Audit Authorizations			
Approval forms to audit a class.			
Classes	ACT+1	EDU1010	IUC-EDU-35-06
Change of Course Schedule (Add/Drop)			

Record Series	Retention	Retention Rule	IUC Code
Classes	ACT+1	EDU1010	IUC-EDU-35-09
Class Schedules (Students)			
Lists of classes student took a given term.			
Classes	IND	EDU1000	IUC-EDU-35-02
Credit by Examination Form			
Classes	ACT+3	EDU1015	IUC-EDU-35-05
Credit/No Credit Approvals			
Review for continuing administrative and historical value and potential transfer to institutional Archives.			
Classes	ACT+3	EDU1015	IUC-EDU-35-08
Official Class Roster			
Lists of students enrolled for individual classes.			
Classes	ACT+1	EDU1010	IUC-EDU-35-04
Pass/Fail Request			

Record Series	Retention	Retention Rule	IUC Code
Classes **Registration/Enrollment Forms**	ACT+3	EDU1015	IUC-EDU-35-01
Classes **Withdrawal Authorizations**	ACT+3	EDU1015	IUC-EDU-35-07
Curriculum **Catalogs** Official course bulletins of the institution. *Review for continuing historical value and potential transfer to institutional Archives.*	IND	EDU3000	IUC-EDU-30-02
Curriculum **Development Files** Files documenting approval of new programs and degrees. *Review for continuing historical value and potential transfer to institutional Archives.*	IND	EDU3000	IUC-EDU-30-01
Curriculum **Schedule of Classes (Institutional)** Schedule of classes offered each term by the institution. *Review for continuing historical value and potential transfer to institutional Archives.*	IND	EDU3000	IUC-EDU-30-03

Record Series	Retention	Retention Rule	IUC Code
Financial Aid **General** **Non-Recipient Files** Copy of FAF for students who did not receive aid or enter the university or college.	1	EDU1100	IUC-EDU-20-20
Financial Aid **Non U.S. Department of Education Funding** **General Administrative** **Annual Interim Fiscal Operations Reports** Reports to federal government on expenditures for federal programs. *Review for continuing administrative or historical value and potential transfer to institutional Archives.*	ACT+6	EDU2000	IUC-EDU-20-03
Financial Aid **Non U.S. Department of Education Funding** **National Guard Scholarship Rosters** Lists of students receiving scholarships from the Ohio National Guard. *Review for continuing administrative and historical value and potential transfer to institutional Archives.*	ACT+1	EDU1010	IUC-EDU-20-08
Financial Aid **Non U.S. Department of Education Funding** **Ohio Academic Scholarship Rosters** Lists of students receiving scholarships for current academic year. *Review for continuing administrative and historical value and potential transfer to institutional Archives.*	ACT+1	EDU1010	IUC-EDU-20-07
Financial Aid **Non U.S. Department of Education Funding** **Ohio Bureau of Vocational Rehabilitation Grants Files** Record of awards by state agency for handicapped students.	ACT+6	EDU2000	IUC-EDU-20-06

Record Series	Retention	Retention Rule	IUC Code
Financial Aid	ACT+1	EDU1010	IUC-EDU-20-05
Non U.S. Department of Education Funding			
Ohio Instructional Grants			
Files			
Record submitted by student for payment of fees. Eventually sent to OBOR for payment.			
Review for continuing administrative and historical value and potential transfer to institutional Archives.			
Financial Aid	ACT+6	EDU2000	IUC-EDU-20-04
Non U.S. Department of Education Funding			
Ohio Instructional Grants			
Rosters			
List of students receiving grants for current academic year.			
Financial Aid	ACT+6	EDU2000	IUC-EDU-20-01
Non U.S. Department of Education Funding			
Student Files			
Files on recipients, including: FAF's, and FAF need analysis reports, parental tax files, award letters, Statement of Educational Progress, grants-in-aid documentation, guaranteed student loan applications, health profession loan files, nursing loan files,scholarships, National Merit Scholarships, graduate assistantships, sponsored student accounts			
Financial Aid	ACT+6	EDU2000	IUC-EDU-20-02
Non U.S. Department of Education Funding			
Work-Study Student Files			
Contains application, PERS exemption form, and evaluations of students employed under Work-Study Program.			

	Record Series	Retention	Retention Rule	IUC Code

Financial Aid ACT+3 EDU2100 IUC-EDU-20-13

U.S. Department of Education Funding

Federal Loan Check Registers

Record of checks sent to students for National Direct Student Loans and Health Education Assistance Loans.

Financial Aid ACT+3 EDU2100 IUC-EDU-20-12

U.S. Department of Education Funding

General Administrative

Annual Interim Fiscal Operations Reports

Reports to federal government on expenditures for federal programs.

Review for continuing administrative or historical value and potential transfer to institutional Archives.

Financial Aid ACT+3 EDU2100 IUC-EDU-20-10

U.S. Department of Education Funding

Student Files

Files on recipients, including: FAF's, and FAF need analysis reports, parental tax files, draft registration compliance record, award letters, Statement of Educational Progress, Basic Education Opportunity Grant (Pell) Files, grants-in-aid documentation, guaranteed student loan applications, health profession loan files, nursing loan files,scholarships, graduate assistantships, sponsored student accounts.

Financial Aid ACT+3 EDU2100 IUC-EDU-20-11

U.S. Department of Education Funding

Work-Study Student Files

Contains application, PERS exemption form, and evaluations of students employed under Work-Study Program.

Record Series	Retention	Retention Rule	IUC Code
Grades **Change of Grade Forms (Update Documents)**	IND	EDU1000	IUC-EDU-35-13
Grades **Faculty Grade Report (Grade or narrative)** Copy of grade reports as submitted to registrar by faculty.	IND	EDU1000	IUC-EDU-35-10
Grades **Grade Reports (Registrar's Copies)** Copy of grade report as sent to student. Grade or narrative.	ACT+1	EDU1010	IUC-EDU-35-11
Grades **Grade Statistics** *Review for continuing administrative and historical value and potential transfer to institutional Archives.*	IND	EDU3000	IUC-EDU-35-12
Graduation **Applications for Graduation**	ACT+1	EDU1010	IUC-EDU-35-20

Education & Student	Record Series	Retention	Retention Rule	IUC Code
	Graduation	IND	EDU3000	IUC-EDU-35-23
	Commencement Programs			
	Review for continuing administrative and historical value and potential transfer to institutional Archives.			
	Graduation	ACT+1	EDU1010	IUC-EDU-35-21
	Graduation Authorizations			
	Documents certifying completion of degree requirements.			
	Graduation	IND	EDU3000	IUC-EDU-35-22
	Graduation Lists			
	Review for continuing administrative and historical value and potential transfer to institutional Archives.			
	Head Start	ACT+5	LEG2000	IUC-EDU-00-30
	Documents of Head Start meetings and grantee level matters.			
	IPEDS Report	IND	EDU3000	IUC-EDU-00-04
	Integrated Post-secondary Education Data System			

Record Series	Retention	Retention Rule	IUC Code
OBOR Report	IND	EDU3000	IUC-EDU-00-05
Ohio Board of Regents			
Placement Files	ACT+1	EDU1010	IUC-EDU-00-20
Files maintained on alumni for purposes of career placement. Includes credentials, letters of recommendations, etc. Students pay to have credentials maintained.			
Requests **Disclosures of Personally Identifiable Information**	ACT+3	EDU1030	IUC-EDU-00-10
Requests **Health Insurance Waivers** Signed waiver indicating student's acceptance or waiver of university student health insurance.	1	ADM9900	IUC-EDU-00-13
Requests **Student Requests for Nondisclosure of Directory Information**	ACT+3	EDU1030	IUC-EDU-00-12

Education & Student	Record Series	Retention	Retention Rule	IUC Code
	Requests **Student's Written Consent for Records Disclosure**	ACT+3	EDU1030	IUC-EDU-00-11
	Research **Grants Files** **Awarded** Files containing proposal, budgets, accounting information on grants received by faculty members from federal and state agencies and private foundations. *Review for continuing administrative and historical value and potential transfer to institutional Archives.*	ACT+5	LEG2000	IUC-EDU-50-10
	Research **Grants Files** **Not Awarded** Applications and proposals by faculty for grants that were not funded.	1	ADM9900	IUC-EDU-50-11
	Research **Research Protocol Committee Files** Includes lists of protocols to be considered, new reviews, approvals, requests, and revised protocol forms. *Review for continuing administrative and historical value and potential transfer to institutional Archives.*	ACT+10	ADM3000	IUC-EDU-50-01
	Research **Research Protocol Records** Includes protocol correspondence, grant information, approval forms, progress reports, prescription drug tracking forms, memos, history sheets, previously active protocol, and LAMS file.	ACT+3	LEG5020	IUC-EDU-50-02

Record Series	Retention	Retention Rule	IUC Code
Statistics Degree	IND	EDU3000	IUC-EDU-00-01
Statistics Enrollment	IND	EDU3000	IUC-EDU-00-02
Statistics Racial/Ethnic	IND	EDU3000	IUC-EDU-00-03
Student Disciplinary Files Files maintained by student affairs on students who have been accused of disciplinary violations.	ACT+6	LEG4000	IUC-EDU-40-01
Student Disciplinary Files Academic Action Notifications Communications notifying students of dismissal, academic probation, etc.	ACT+1	EDU1010	IUC-EDU-40-04

Record Series	Retention	Retention Rule	IUC Code
Student Disciplinary Files **Requests for Formal Hearings**	ACT+3	EDU1030	IUC-EDU-40-02
Student Disciplinary Files **Student Statements Regarding Hearing Panel Decisions** Student statements on content of records regarding hearing panel decisions.	ACT+3	EDU1030	IUC-EDU-40-05
Student Disciplinary Files **Written Decisions of Hearing Panels**	ACT+3	EDU1030	IUC-EDU-40-03
Student Records **Academic Records** Record of academic work pursued, including: grades, course evaluations, competency assessments, etc.	IND	EDU1000	IUC-EDU-35-30
Student Records **College or Departmental Office Files** Files maintained in individual college and department offices on students enrolled in that college or department. Includes transcripts, letters of recommendation, etc. Includes students who have graduated, actively enrolled students, and students who are no longer actively enrolled.	ACT+1	EDU1010	IUC-EDU-35-34

Record Series	Retention	Retention Rule	IUC Code
Student Records **Continuing Education** Files include two types of records: students enrolled in special interest courses, and students enrolled in professional certification programs.	ACT+3	EDU1015	IUC-EDU-35-35
Student Records **Correspondence** Student-specific correspondence (other than admissions).	ACT+1	EDU1010	IUC-EDU-35-31
Student Records **Program Requirement Modification** Change of major forms; degree requirement waiver or substitution authorization.	ACT+1	EDU1010	IUC-EDU-35-33
Student Records **Transcript Requests (other than student requested)**	ACT+3	EDU1030	IUC-EDU-35-36
Student Records **Veterans Administration Records and Correspondence**	ACT+3	EDU1020	IUC-EDU-35-32

Record Series	Retention	Retention Rule	IUC Code
Tuition and Fee Schedule	IND	EDU3000	IUC-EDU-00-06

Listing of fee charges for each term by an institution.

Environmental	Record Series	Retention	Retention Rule	IUC Code
	Environmental Monitoring Records	5	ENV1000	IUC-ENV-00-01
	Radioactive Materials **Transportation Records** DOT transfer record; Authorization for shipment of RAM; and Off-site transfers.	IND	ENV2010	IUC-ENV-00-02
	Radioactive Materials **Waste Records** RAM use cards, specific use, and disposal information.	ACT+3	LEG5020	IUC-ENV-00-03

Finance	Record Series	Retention	Retention Rule	IUC Code
	Annual Financial Report	4	FIN7000	IUC-FIN-00-01

Consolidated year-end report of financial situation showing assets and liabilities. Usually broken down by major funding areas, such as academic and student services areas. May include audit report.

Review for continuing historical value and potential transfer to institutional Archives.

	Audit Report	4	FIN7010	IUC-FIN-00-02

External

Final report of state or independent auditor.

Review for continuing historical value and potential transfer to institutional Archives.

	Audit Report	4	ADM3010	IUC-FIN-00-03

Internal

Final report internal auditor.

	Bank Deposits	4	FIN1000	IUC-FIN-10-01

Record of deposits in banking institutions.

	Bank Reconciliations	4	FIN1000	IUC-FIN-10-02

Explanation of differences between bank statement balance and actual balance.

Record Series	Retention	Retention Rule	IUC Code
Bank Statements	4	FIN1000	IUC-FIN-10-03
Periodic statement of bank balances.			
Bids **Accepted**	ACT+5	FIN8010	IUC-FIN-20-01
For purchases.			
Bids **Rejected**	3	FIN8000	IUC-FIN-20-02
For purchases.			
Bond Registers	ACT+6	FIN5000	IUC-FIN-30-01
Listing of bonds sold, usually for building projects, showing purchaser, date redeemed, interest due, etc.			
Budget **Institutional**	ACT+1	FIN2000	IUC-FIN-00-04
Final, approved, yearly budget for institution, usually in printed form. *Review for continuing historical value and potential transfer to institutional Archives*			

Finance	Record Series	Retention	Retention Rule	IUC Code
	Budget **Planning Documents** Budget requests, including program plans for coming year, usually by cost center. *Review for continuing historical value and potential transfer to institutional Archives*	ACT+1	FIN2000	IUC-FIN-00-05
	Canceled Checks	4	FIN1000	IUC-FIN-10-04
	Check Register Book or original entry for all cash disbursements paid by check.	4	FIN1000	IUC-FIN-10-05
	Delivery Slips Documents sent with purchased goods indicating item(s) shipped.	3	FIN8020	IUC-FIN-20-04
	Endowment Fund Reports **Annual** Annual report of funds received and expended by endowment accounts. May be in form of report to donors. *Review for continuing historical value and potential transfer to institutional Archives.*	ACT+6	FIN3000	IUC-FIN-30-02

Record Series	Retention	Retention Rule	IUC Code
Endowment Fund Reports **Periodic** Periodic report of funds collected or expended by endowment accounts.	ACT+6	FIN3000	IUC-FIN-30-03
Purchase Orders Purchasing Office's copy of order to a supplier authorizing purchase of goods.	ACT+5	FIN8010	IUC-FIN-20-03

General Administrative	Record Series	Retention	Retention Rule	IUC Code
	Accreditation Files	4	ADM3010	IUC-ADM-10-01
	University, college or department files documenting accreditation review by accrediting agencies. *Review for continuing historical value and potential transfer to institutional Archives.*			
	Bookstore Management Documentation	4	ADM3010	IUC-ADM-40-01
	Including buy-back records, cash drawer sign-out sheets, cashier balancing forms, charge forms, mark-up/mark-down sheets, merchandise return records, and special orders.			
	Input Documents	SUP	ADM9905	IUC-ADM-00-03
	Copies of records or forms designed and used solely for data input and control.			
	Organizational Charts	ACT+10	ADM3000	IUC-ADM-00-04
	Review for continuing historical value and potential transfer to institutional Archives.			
	Pre-School Program **Attendance Records**	ACT+6	LEG4000	IUC-ADM-50-01
	Pre-School Attendance and Emergency Sheets.			

Record Series	Retention	Retention Rule	IUC Code
Pre-School Program **Children's Files** Includes screening evaluation forms, contracts, parental and developmental information, reports from outside agencies, examples of student work, health records from physicians, and information from Social Services coordinator.	IND	LEG3010	IUC-ADM-50-02
Records Destruction Documentation	10	ADM3020	IUC-ADM-20-01
Subject Files **General Administrative** Files of correspondence, reports, memoranda, etc., documenting activities of general administrative offices [Note: excludes President, Vice President, Director, Dean, or Chair and other upper level administrative offices].	1	ADM9900	IUC-ADM-00-02
Subject Files **President, Vice President, Director, Dean, or Chair** Files of correspondence, reports, memoranda, etc., documenting activities of these upper level administrative offices. *Review for continuing historical value and potential transfer to institutional Archives.*	3	ADM9910	IUC-ADM-00-01
Surplus Property Documentation	ACT+6	ADM2020	IUC-ADM-30-01

Record Series	Retention	Retention Rule	IUC Code
University Governance Files	3	ADM9910	IUC-ADM-00-05

Files of minutes of boards, committees, and other governance groups documenting official actions of governing bodies.

Review for continuing historical value and potential transfer to institutional Archives.

Record Series	Retention	Retention Rule	IUC Code
Affirmative Action **Complaint Files** Record of staff or student grievances based on equal opportunity and affirmative action regulations. Files arranged alphabetically.	ACT+6	LEG4000	IUC-HR-10-04
Affirmative Action **EE-06 Report [EEOC]** Annual report required by the federal government, including information on race, sex, salary, tenure, etc. for different groups of employees.	6	LEG5000	IUC-HR-10-03
Affirmative Action **Plan Files** Procedures and regulations to be followed, work force analysis, goals, timetables, statistics. *Review for continuing historical value and potential transfer to institutional Archives.*	6	LEG5000	IUC-HR-10-01
Affirmative Action **Position Applicant Files** Record of affirmative action procedures followed for university or college position openings. Files include position request and authorization forms, job descriptions, appointment activity record, proof of citizenship, chronological data on search and correspondence. Files divided into faculty, contract and classified staff headings. The classified staff portion is comprised of statistical data sent to Affirmative Action Office by Personnel Office. Under these headings, files are arranged alphabetically by department or office.	6	LEG5000	IUC-HR-10-02

Record Series	Retention	Retention Rule	IUC Code
Classified Staff Report	1	ADM9900	IUC-HR-20-21
Monthly and annual reports listing information on classified employees such as promotions, training, classifications, new hires, pay range / step, suspensions, terminations, etc.			
Classified Staff Report **Categorical Summary**	6	LEG5000	IUC-HR-20-22
Listing of civil service employees categorized by race and sex. *Review for continuing administrative or historical value and potential transfer to institutional Archives.*			
Classified Staff Report **Surveys, Wage and Fringe Benefit**	3	PER9900	IUC-HR-20-25
Surveys conducted by the university or college with area organizations in an effort to acquire comparative data regarding wage and fringe benefit programs.			
Classified Staff Report **Suspension Files**	5	PER3010	IUC-HR-20-23
Record of suspended university or college employees including name, classification, department, reason for suspension and duration of suspension, pertinent supporting documentation.			
Classified Staff Report **Union Dues Membership List**	4	ACC1000	IUC-HR-20-24
Copy of biweekly listing of university or college employees paying dues to unions, including pertinent personal data, classification and department.			

Human Resources	Record Series	Retention	Retention Rule	IUC Code

Collective Bargaining Agreements — Retention: ACT+5 — Retention Rule: LEG2000 — IUC Code: IUC-HR-20-01

Review for continuing administrative or historical value and potential transfer to institutional Archives.

Department Assistance File — Retention: 1 — Retention Rule: ADM9900 — IUC Code: IUC-HR-20-16

Classified Staff

Correspondence documenting Personnel Office services to university or college departments regarding classified staff positions.

Employment — Retention: 6 — Retention Rule: LEG5000 — IUC Code: IUC-HR-40-15

Alien Certification Files

Records of employee requests made to the Department of Labor and Immigration and Naturalization for work certification. In addition to certification, the files include transcripts, letters of reference, resume and other pertinent documentation. Files arranged alphabetically.

Employment — Retention: 3 — Retention Rule: PER2000 — IUC Code: IUC-HR-40-08

Classified Staff

Applicant Card Files

Reference card file that lists name, address, telephone number, date of application, classification of individuals who have applied for classified positions.

Employment — Retention: 3 — Retention Rule: PER2000 — IUC Code: IUC-HR-40-07

Classified Staff

Application Files

Includes application form, resume, test results, referral and interview data.

Record Series	Retention	Retention Rule	IUC Code
Employment **Classified Staff** **Canceled Position File** Application forms, correspondence sent and received concerning positions that have been canceled.	3	PER2000	IUC-HR-40-11
Employment **Classified Staff** **Certification Files** Record of employees who have attained certification in their classification. May include log book and printouts.	ACT+3	PER5010	IUC-HR-40-09
Employment **Classified Staff** **Personnel Requisitions** Departmental request placed whenever a position within the department becomes vacant.	3	PER2000	IUC-HR-40-06
Employment **Classified Staff** **Selection Criteria Form** Form providing an explanation as to why a person was or was not hired for a university or college position.	3	PER2000	IUC-HR-40-10
Employment **Faculty** **Application Files - Non-hires** Contains application, correspondence, resumes, etc. from applicants for positions.	3	PER2000	IUC-HR-40-03

Human Resources	Record Series	Retention	Retention Rule	IUC Code
	Employment	3	PER2000	IUC-HR-40-02
	Faculty			
	Declinations Files			
	Contracts, recommendations, letters of people who have declined positions.			
	Employment	3	PER2000	IUC-HR-40-01
	Faculty			
	Search Committee			
	Records of individuals who applied or interviewed for positions for which a committee was formed. Files contain position authorization forms, job descriptions, search committee minutes, applicant credentials, correspondence, authorization to hire forms.			
	Employment	3	PER2000	IUC-HR-40-13
	Residence Hall Advisers			
	Not Selected			
	Files on candidates not selected as residence hall advisors.			
	Employment	ACT+6	PER3000	IUC-HR-40-12
	Residence Hall Advisers			
	Selected			
	Files on candidates selected for employment as residence hall advisors.			
	Employment	3	PER2000	IUC-HR-40-05
	Staff			
	Applicant Files			
	Resumes on file.			

Record Series	Retention	Retention Rule	IUC Code
Employment **Staff** **Recruitment/Search** Staff search files. May contain position authorization forms, job descriptions, minutes , applicants' credentials, search chronologies, authorization to hire forms, correspondence.	3	PER2000	IUC-HR-40-04
Employment **Student** **Summer Contracts** Flyers for on- and off-campus employment opportunities.	ACT	REF0000	IUC-HR-40-14
Employment Forms **1099** Federal form used to report salaries, wages, and tips of temporary employees.	6	LEG5000	IUC-HR-50-01
Employment Forms **I-9 (Student)** Federal employment eligibility verification for on-campus student employees.	ACT+3	LEG5040	IUC-HR-50-02
Employment Forms **Payroll Deduction Authorizations** All forms used to authorize deductions for charitable organizations, credit unions, union dues, U.S. Savings Bonds, etc.	ACT+6	PER1030	IUC-HR-50-05

Human Resources	Record Series	Retention	Retention Rule	IUC Code

Employment Forms

W-2

Federal form reporting salaries, wages, and tips for each employee to the IRS.

	6	LEG5000	IUC-HR-50-03

Employment Forms

W-4

Forms completed by employee showing federal tax withholding exemptions.

	ACT+6	PER1030	IUC-HR-50-04

Faculty Employment Reports

Activity & Service

Records for the academic year and each term listing teaching and advisory assignments, research, administrative duties and public service. Data is included for full-time and part-time faculty and graduate assistants. Reports printed either alphabetically by name of faculty member or by department.

Review for continuing administrative or historical value and potential transfer to institutional Archives.

	ACT+6	PER3000	IUC-HR-20-27

Faculty Employment Reports

Index System

Cards or other reference list for all active and inactive faculty.

Review for continuing administrative or historical value and potential transfer to institutional Archives.

	ACT+6	PER3000	IUC-HR-20-26

Garnishment Documentation

Classified Staff

Contains copies of court orders, pertinent employee data, computation data, employee acknowledgement forms, IRS notices of levy, and correspondence regarding employee garnishment cases.

	ACT+3	LEG5030	IUC-HR-40-42

	Retention	Retention Rule	IUC Code
Garnishment Documentation **Faculty** Contains copies of court orders, pertinent employee data, computation data, employee acknowledgement forms, IRS notices of levy, and correspondence regarding employee garnishment cases.	ACT+3	LEG5030	IUC-HR-40-40
Garnishment Documentation **Staff** Contains copies of court orders, pertinent employee data, computation data, employee acknowledgement forms, IRS notices of levy, and correspondence regarding employee garnishment cases.	ACT+3	LEG5030	IUC-HR-40-41
Hazardous Materials **Exposure Documentation**	IND	PER4030	IUC-HR-30-10
Hazardous Materials **Exposure Documentation** **Radioactive Materials** Files of monthly reports of persons exposure to Radioactive Materials.	IND	PER4030	IUC-HR-30-11
Hazardous Materials **Exposure Documentation** **Radioactive Materials** **Incident Report** Report of Radioactive Materials Incident.	IND	PER4030	IUC-HR-30-12

Record Series	Retention	Retention Rule	IUC Code
Hazardous Materials **Radiation Safety Workers** Includes training records, exposure records, applications and authorizations, documents of Authorized Users Lab; Specific RW Training/Interview; Emergency Notification, and Declaration of Pregnancy forms.	IND	PER4030	IUC-HR-30-13
Hazardous Materials **Radioactive Materials Authorized Users** Includes applications for non-human use of RM; Statement of prior Training and Experience; Authorization for Internal Transfer of Material between AUs; Room Surveys; Application for Clinical Use of RAM; Emergency Notification; Application for Investigational Human Use of RAM.	IND	PER4030	IUC-HR-30-14
Layoff Documentation **Classified Staff** File contains printouts, rosters, and correspondence documenting university or college layoffs. Pertinent employee data, date of hire, classification, department, and retention points (performance) are included.	5	PER3010	IUC-HR-40-50
Leave Record **Classified Staff** Forms used to document sick leave and vacation leave. Includes hiring date, longevity date, amount of sick leave and vacation leave accrued.	5	PER3010	IUC-HR-00-03
Leave Record **Faculty** Vacation and sick leave earned and used.	ACT+6	PER3000	IUC-HR-00-01

Record Series	Retention	Retention Rule	IUC Code
Leave Record **Staff** Forms used to document sick leave and vacation leave. Includes hiring date, longevity date, amount of sick leave and vacation leave accrued.	5	PER3010	IUC-HR-00-02
Ohio Board of Regents Annual FTE Report Annual printout required by the Ohio Board of Regents documenting full-time equivalent staffing levels. The summary of the inventory is sent to the Ohio Board of Regents. *Review for continuing administrative or historical value and potential transfer to institutional Archives.*	1	ADM9900	IUC-HR-20-20
Performance Evaluation **Classified Staff** File contains annual printouts and log books, with such information as name, Social Security Number, date of hire, classification, supervisory, mid- and end-probationary dates, and department, and university or college employee performance evaluations.	5	PER3010	IUC-HR-40-35
Performance Evaluation **Classified Staff** **Reclassification Files** Record of university or college employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation.	5	PER3010	IUC-HR-40-36
Performance Evaluation **Faculty** **Promotion & Tenure Files** Recommendations, evaluations, materials submitted for promotion or tenure. Tenure and promotion recommendations (approval or denial) and pertinent correspondence maintained in permanent personnel file. *Review for continuing administrative or historical value and potential transfer to institutional Archives.*	5	PER3010	IUC-HR-40-31

Record Series	Retention	Retention Rule	IUC Code
Performance Evaluation	10	ADM3020	IUC-HR-40-30
Faculty			
Promotion & Tenure Policy			
Copy of departmental guidelines, policies, procedures, notices of guidelines, administrative memos, lists of eligible faculty.			
Review for continuing administrative or historical value and potential transfer to institutional Archives.			
Performance Evaluation	5	PER3010	IUC-HR-40-32
Faculty			
Teaching Evaluations			
Student evaluations of teacher's performance. Used for Reappointment, Promotion, and Tenure.			
1 Year if summaries are made based upon Records Retention Rule MIS1010 (Miscellaneous Reports/Copies: Records replaced periodically by newer, updated ones.; Retention=Superseded).			
Performance Evaluation	5	PER3010	IUC-HR-40-33
Staff			
File contains annual printouts and log books, with such information as name, Social Security Number, date of hire, classification, supervisory, mid- and end-probationary dates, and department, and university or college employee performance evaluations.			
Performance Evaluation	5	PER3010	IUC-HR-40-34
Staff			
Reclassification Files			
Record of university or college employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation.			

Record Series	Retention	Retention Rule	IUC Code
Personnel Files	ACT+6	PER3000	IUC-HR-40-22

Classified Staff

Employment record maintained for full-time and part-time classified employees. Files may contain applications, copies of driver's license, Social Security card, birth certificate, payroll, leave or absence requests, letters of commendation and reprimand, transfer requests, leave forms, evaluations, reclassifications, certifications, promotions, step increases, longevity, PERS forms, employee's inspection of personnel file form, personnel card, etc.

Review for continuing administrative value.

Record Series	Retention	Retention Rule	IUC Code
Personnel Files	ACT+6	PER3000	IUC-HR-40-23

Classified Staff

Card File

File card coordinated to classified personnel files. Includes name, Social Security Number, status, classification, department, anniversary date, pay, resignation, date, sick leave, performance, etc.

Review for continuing administrative value.

Record Series	Retention	Retention Rule	IUC Code
Personnel Files	5	PER3010	IUC-HR-40-24

Classified Staff

Summer Employment

Record of employees with alternate summer job responsibilities usually in dining halls, union, health center, residence halls and custodial.

Record Series	Retention	Retention Rule	IUC Code
Personnel Files	ACT+6	PER3000	IUC-HR-40-20

Faculty

Original faculty contracts and addenda, promotion and tenure documentation, original transcripts, hiring documentation, resumes, letters of recommendation, correspondence, teaching schedules, tax forms, sabbatical information, evaluation forms, STRS forms, promotion and tenure decisions. Includes part-time and adjunct faculty files.

Review for continuing administrative value.

Record Series	Retention	Retention Rule	IUC Code
Personnel Files	ACT+6	PER3000	IUC-HR-40-21

Staff

Employment record maintained for full-time and part-time university or college contract employees. Files can contain position descriptions, applications, letters of appointment or change, personnel data, notice of salary rate, copies of birth certificate, annual contracts, performance evaluations, PERS forms, previous state service forms, Social Security card, reclassification notices, letters of commendation or reprimand, publications, evidence of continuing education, transfers, leave of absence requests, payroll forms, vacation and sick leave reports, resignations, termination notices.

Review for continuing administrative value.

Record Series	Retention	Retention Rule	IUC Code
Personnel Files	ACT+6	PER3000	IUC-HR-40-25

Student Employee

Active and inactive files. Student authorization forms, State and federal withholdings, PERS, step increases, termination notices, reclassification forms, exemptions.

Review for continuing administrative value.

Record Series	Retention	Retention Rule	IUC Code
Personnel Files	1	ADM9900	IUC-HR-40-26

Student Employee

Summary Report

Stipend list, updated social security number reports, 1040 hours report, termination reports, summer rehires, college work-study awards, changes chart of accounts, step increases, department summaries, CWS earnings report, time cards by sequence number.

Record Series	Retention	Retention Rule	IUC Code
Position Descriptions	ACT	REF0000	IUC-HR-20-12

Classified Staff

Master file of classified job descriptions. Retained for pay-range classification purposes.

Record Series	Retention	Retention Rule	IUC Code
Position Descriptions **Faculty** Description of current positions.	ACT	REF0000	IUC-HR-20-11
Position Descriptions **General**	3	PER2000	IUC-HR-20-10
Position Descriptions **Student Job Cards** Job descriptions for campus and off-campus positions which have been filled or are no longer offered.	ACT	REF0000	IUC-HR-20-13
Position Vacancy Announcement **Classified Staff** Job descriptions for each university or college position posted.	3	PER2000	IUC-HR-20-15
Public Employees Retirement System (PERS) File **Classified Staff** Includes copies of retirement applications documenting pertinent personal, spouse, and beneficiary data. Working papers and correspondence are included.	ACT+6	PER1040	IUC-HR-00-05

	Record Series	Retention	Retention Rule	IUC Code
Human Resources				
	Public Employees Retirement System (PERS) File	ACT+6	PER1040	IUC-HR-00-04
	Staff			
	Includes copies of retirement applications documenting pertinent personal, spouse, and beneficiary data. Working papers and correspondence are included.			
	Public Employees Retirement System (PERS) Log	ACT+6	PER1040	IUC-HR-00-07
	Classified Staff			
	Record of university or college classified employees and their date of retirement and address.			
	Public Employees Retirement System (PERS) Log	ACT+6	PER1040	IUC-HR-00-06
	Staff			
	Record of university or college classified employees and their date of retirement and address.			
	State Classification File	SUP	MIS1010	IUC-HR-20-14
	Classified Staff			
	Lists of classification by pay range as directed by the State Department of Administrative Services.			
	Super Bill Files	4	ACC1000	IUC-HR-30-02
	Record given to each person who visits university health services. Records diagnosis, treatment, and charges or lack of charges. Used for insurance claims.			

Record Series	Retention	Retention Rule	IUC Code
Time Cards	5	PER6000	IUC-HR-50-10
Record of time worked by employees.			
Time Cards **Student Employees**	5	PER6000	IUC-HR-50-11
Record of hours worked by student employees.			
Training Documentation **Classified Staff** **Civil Service Examinations File**	ACT	REF0000	IUC-HR-40-61
Old examinations used for the purpose of devising new testing programs. Also can include information and materials for Civil Service testing.			
Training Documentation **Classified Staff** **On-the-Job Training Records**	ACT+3	PER5000	IUC-HR-40-62
Complete training records for individuals seeking classified positions. Includes V.A. approval, progress report, record of trainee-trainer, date started, hours worked, etc.			
Training Documentation **Training Courses**	1	ADM9900	IUC-HR-40-60
Memoranda, flyers, catalogues, registration forms, rosters, and other records relating to training courses run by a data processing user support or office automation support unit.			

Human Resources	Record Series	Retention	Retention Rule	IUC Code
	Unemployment Compensation Log Record of unemployment compensation cases.	SUP	MIS1010	IUC-HR-50-21
	Unemployment Compensation Documentation Consolidated file listing all employees (classified, contract and faculty) for whom an unemployment claim has been filed. This includes copies of claim forms, correspondence, costs for the institution and amount of unemployment compensation paid.	ACT+6	LEG4000	IUC-HR-50-20
	University Medial Records Files of medical charts for students, university employees and their spouses. Includes medical histories, medical exams, progress sheets, x-rays, lab work, and related correspondence. *Review for continuing administrative or historical value and potential transfer to institutional Archives.*	6	PER4010	IUC-HR-30-01

Information Technology	Record Series	Retention	Retention Rule	IUC Code

Information Systems

Audit Trail Files

Data generated during the creation of a master file or database used to validate a master file or database during a processing cycle.

| | 3 CYCLES | ADM9925 | IUC-IT-15-01 |

Information Systems

Backup Files

Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction.

| | 3 CYCLES | ADM9925 | IUC-IT-15-02 |

Information Systems

Computer Run Scheduling Records

Records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run.

| | SUP | MIS1010 | IUC-IT-30-01 |

Information Systems

Computer Usage

Chargeback Billing Records

Reports and other records from campus computer centers detailing charges for computer services. Includes monthly billing reports, copies of vouchers and bills

| | 4 | ACC1000 | IUC-IT-30-02 |

Information Systems

Computer Usage

Files

Electronic files or automated logs created to monitor computer system usage including but not limited to log-in files, system usage files, data entry logs, and records of individual computer program usage.

| | 3 CYCLES | ADM9925 | IUC-IT-30-03 |

Record Series	Retention	Retention Rule	IUC Code
Information Systems **Computer Usage** **Files** **Summary** Summary reports created to document computer usage.	SUP	MIS1010	IUC-IT-30-04
Information Systems **Data Documentation & Data Dictionary Records** Records generally created during development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system including 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, user guides, system or sub-system definition, system flowcharts, program descriptions and documentation, job control or work flow records, system specifications, and input and output specifications. *Review for continuing historical value if not all data migrated or destroyed.*	ACT+3	ADM9920	IUC-IT-10-02
Information Systems **Disaster Preparedness and Recovery Plans** Records related to the protection and re-establishment of data processing services, equipment and data (back-up files) in case of a disaster.	ACT+3	ADM9920	IUC-IT-00-02
Information Systems **Hardware & Software Conversion Plans** Records relating to the replacement of equipment or computer operating systems.	ACT+3	ADM9920	IUC-IT-10-03

Record Series	Retention	Retention Rule	IUC Code
Information Systems **Hardware Documentation** Records documenting the use, operation, and maintenance of the university's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	ACT+3	ADM9920	IUC-IT-10-01
Information Systems **Help Desk Logs and Reports** Records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes.	1	MIS1000	IUC-IT-30-05
Information Systems **Information Resources Management and Data Processing Services Plans** University IT plans, data processing service plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provision, or related areas. *Review for continuing historical value and potential transfer to institutional Archives.*	ACT+3	ADM9920	IUC-IT-00-01
Information Systems **Maintenance Contract Files** Records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda.	ACT+6	ADM2020	IUC-IT-10-04
Information Systems **Network Usage Reports** Summary reports and other records created to document computer usage for reporting or other purposes.	ACT+3	ADM9920	IUC-IT-15-04

Record Series	Retention	Retention Rule	IUC Code
Information Systems **Operating Procedures** 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. *Review for continuing historical value and potential transfer to institutional Archives.*	ACT+3	ADM9920	IUC-IT-10-05
Information Systems **Policies** Records of data processing policies including those covering access and security, systems development, data retention and disposition, and data ownership. *Review for continuing historical value and potential transfer to institutional Archives.*	ACT+10	ADM3000	IUC-IT-10-06
Information Systems **Procurement Records** **Hardware & Software** Records used in the procurement of system hardware and software including request for proposals, quotations and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information including references and literature on the firm or product line.	ACT+6	ACC2000	IUC-IT-20-01
Information Systems **Procurement Records** **Services** Records created to initiate the purchasing process, authorize and provide funds for, or satisfy claims and expedite payments for private service providers including copies of purchase orders, involve requests, receipts, agency vouchers, service reports, and other supporting documents.	4	ACC1000	IUC-IT-20-02

Record Series	Retention	Retention Rule	IUC Code
Information Systems **Software Documentation** Copy of program code, program flowcharts, program maintenance log, system change notices, original design documents, specifications requirements, acceptance tests, and other records that document computer programs and the modifications made to computer programs. *Review for continuing historical value if not all data migrated or destroyed.*	ACT+3	ADM9920	IUC-IT-10-07
Information Systems **Tape Library Control Records** Records used to control disposition of magnetic media in a tape library.	SUP	MIS1010	IUC-IT-15-05
Information Systems **Test Database and Files** Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system.	ACT+3	ADM9920	IUC-IT-10-08
Information Systems **Users Access Records** Electronic or textual records created to control or monitor individual access to a system and its data created for security purposes, including but not limited to user account records, security logs, and password files.	ACT+3	ADM9920	IUC-IT-15-03

Record Series	Retention	Retention Rule	IUC Code
Contracts	ACT+5	LEG2000	IUC-LEG-00-01
General			
Litigation Files	ACT+6	LEG4000	IUC-LEG-20-01
Patents	ACT+6	LEG7000	IUC-LEG-10-01
Review for continuing administrative and historical value and potential transfer to institutional Archives.			
Public Records Request Files	3	LEG9900	IUC-LEG-30-01
Trademark Registrations	ACT+6	LEG7000	IUC-LEG-10-02
Review for continuing administrative and historical value and potential transfer to institutional Archives.			

Plant Operations & Maintenance

Blueprints

The As-Built construction drawings.

Review for continuing historical value and potential transfer to institutional Archives.

LOB+6 | ADM2035 | IUC-POM-00-01

Plant Operations & Maintenance

Child Care Licensing Files

Records related to obtaining Food License, License to Run a Nursery/Day Care, and Building Operations License.

ACT+5 | LEG2000 | IUC-POM-40-01

Plant Operations & Maintenance

Construction Projects

Construction Designs and Specifications

Written requirements and standards for materials, equipment, construction systems and workmanship as applied to the work and certain administrative details applicable thereto, including: Analysis of site impact and volumetric formation, circulation patterns and infrastructural servicing to illustrate client and architect's design vision in a definitive way; Drawings, Specifications, Addenda, Notice to Bidders, Instructions to Bidders, Definitions, Bid Form, Contract and Attachments, Bond, Bulletins, Shop Drawings, Change Orders, Change Order Procedure and Pricing Guidelines and Standard Conditions of the Contract Assignments, if any (General and Special); Geotechnical and material testing and reports to insure strength of materials, compaction and construction acceptability.

Review for continuing historical value and potential transfer to institutional Archives.

ACT+6 | ADM2030 | IUC-POM-00-04

Plant Operations & Maintenance	Record Series	Retention	Retention Rule	IUC Code
	Plant Operations & Maintenance	ACT+6	ADM2030	IUC-POM-00-03
	Construction Projects			
	Design Review Committee			
	Minutes, agendas, correspondence and general information. Committee responsible to review site and elevation plans to ensure compatibility with surrounding projects and Master Plan.			
	Review for continuing historical value and potential transfer to institutional Archives.			
	Plant Operations & Maintenance	LOB+6	ENV1010	IUC-POM-00-05
	Construction Projects			
	Environmental Impact Assessment			
	Used to determine potential environmental concerns existing at site prior to demolition and construction.			
	Review for continuing historical value and potential transfer to institutional Archives.			
	Plant Operations & Maintenance	ACT+6	ADM2030	IUC-POM-00-02
	Construction Projects			
	Project Request & Program Statement			
	A request from the University community to initiate a project.			
	Review for continuing historical value and potential transfer to institutional Archives.			
	Plant Operations & Maintenance	ACT+3	LEG5020	IUC-POM-20-01
	Elevator Certifications			
	Plant Operations & Maintenance	ACT+3	LEG5030	IUC-POM-20-02
	Laboratory Inspection Reports			
	Periodic inspections of laboratories.			

Plant Operations & Maintenance	Record Series	Retention	Retention Rule	IUC Code
	Plant Operations & Maintenance **Real Estate Records** Copies of deeds, leases, purchase agreements, appraisals, etc. documenting real property purchased or leased by the institution. Original deed maintained by Auditor of State. *Review for continuing historical value and potential transfer to institutional Archives.*	ACT+5	LEG2000	IUC-POM-10-01
	Plant Operations & Maintenance **Residence Halls** **Change in Meal Plan** Records of changes on board contracts.	ACT+5	LEG2000	IUC-POM-30-02
	Plant Operations & Maintenance **Residence Halls** **HUD Reports** Annual reports filed with the federal government concerning operation of residence halls. *Review for continuing historical value and potential transfer to institutional Archives.*	6	LEG5000	IUC-POM-30-01

	Record Series	Retention	Retention Rule	IUC Code

Publicity

Advertising

5   MAR1000   IUC-PUB-00-01

Review for continuing historical value and potential transfer to institutional Archives.

Publicity

News Releases

IND   PUB3000   IUC-PUB-00-04

Review for continuing historical value and potential transfer to institutional Archives.

Publicity

Newsletters

IND   PUB3000   IUC-PUB-00-05

Review for continuing historical value and potential transfer to institutional Archives.

Publicity

Photographs

IND   PUB3000   IUC-PUB-00-06

Review for continuing historical value and potential transfer to institutional Archives.

Publicity

Recruitment Materials

IND   MAR1000   IUC-PUB-00-02

Videos, publications, posters, advertisements, etc. used to recruit students to attend the institution.

Review for continuing historical value and potential transfer to institutional Archives.

Publicity

Viewbooks

Document utilized for Recruitment.

Review for continuing historical value and potential transfer to institutional Archives.

		5	MAR1000	IUC-PUB-00-03

Record Series	Retention	Retention Rule	IUC Code
Bicycle Registration Forms	1	ADM9900	IUC-SEC-10-01

Records decal number and issued to bicycle registered.

Record Series	Retention	Retention Rule	IUC Code
Dispatch Logs	1	ADM9900	IUC-SEC-00-07

Records of request for service received by the dispatcher, including phone and radio transmissions and audio logs.

Record Series	Retention	Retention Rule	IUC Code
Police Reports	ACT+6	LEG4000	IUC-SEC-00-01

Reports of incidents or requests for service to include the officer's actions, referrals, and subsequent investigation.

Record Series	Retention	Retention Rule	IUC Code
Police Reports	ACT+6	LEG4000	IUC-SEC-00-03

Accidents

Reports created by university or college police for traffic accidents that occur on campus.

Record Series	Retention	Retention Rule	IUC Code
Police Reports	ACT+6	LEG4000	IUC-SEC-00-04

Arrests

Report of arrest, criminal citation, or uniform traffic citation issued to offender.

Security & Police	Record Series	Retention	Retention Rule	IUC Code
	Police Reports **Campus Security Act and Uniform Crime** Reports produced in compliance with federal programs. *Review for continuing historical value and potential transfer to institutional Archives.*	6	LEG5000	IUC-SEC-00-05
	Police Reports **Crime** Reports created by university or college police on campus criminal activity. *Review for continuing administrative and historical value and potential transfer to institutional Archives.*	ACT+6	LEG4000	IUC-SEC-00-06
	Police Reports **Daily Activity**	1	ADM9900	IUC-SEC-00-02
	Transportation Logs **Injury/Ill Person** Reports created by university or college police on ill or injured persons transported to local hospitals from campus.	ACT+6	LEG4000	IUC-SEC-20-02
	Transportation Logs **Student** Record of rides given by student transport service or campus police officers.	1	ADM9900	IUC-SEC-20-01

Transportation & Parking	Record Series	Retention	Retention Rule	IUC Code
	Motor Vehicle Records	ACT+6	ADM2020	IUC-TRA-00-01
	Includes title, insurance, and maintenance documentation.			
	Parking **Permit Applications**	1	ADM9900	IUC-TRA-00-02
	Application for parking permit/decal-non-fee.			
	Parking **Tickets** **Paid**	4	ACC1000	IUC-TRA-00-03
	Parking **Tickets** **Unpaid**	4	FIN6000	IUC-TRA-00-04