

PROCEDURE NO. 304.1
Area: General Administration

Adopted: April 8, 2003

Certified by _____
Dr. Adolphus Andrews
Vice President
Administration and Finance

Revisions Approved:

Subject: RECORDS RETENTION PROCEDURES

The following lists records common to many university offices and departments and the appropriate period of minimum retention. Note that IUC number refers to citations in *Records Retention for Public Colleges and Universities in Ohio: A Manual* (Columbus, Ohio: Inter-University Council of Ohio 2000).

Offices are encouraged to contact the University Library for questions about records retention and disposition.

Actual destruction of documents stipulated by this general schedule or schedules approved by the Executive Vice President & Chief Financial Officer for specific departments should take place after Certificates of Destruction forms (included at the end of this document) are filed.

Instructions for transfer of records to be transferred to the Archives, as stipulated by records retention and disposition schedules, are also included at the end of this document.

This file has two parts: Non-personnel and personnel records.

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|--|---|---|
| 1. Admission Files, Rejected | 17. Cash Receipt Journal | 31. Environmental |
| 2. Annual Reports | 18. Cash Register Tapes | Monitoring Records |
| 3. Application for Admission
or Readmission (Reentry) | 19. Check Distribution Lists | 32. Financial Accounting
Statement |
| 4. Application for
Graduation | 20. Check Register | 33. Financial Aid Canceled
Check Records |
| 5. Audit Authorizations | 21. Class Roster | 34. Financial Report |
| 6. Audit Report | 22. Collective Bargaining
Agreements | 35. General Files |
| 7. Awarded Grant Files | 23. Commencement
Programs | 36. General Files, Upper
Administrative |
| 8. Bad Debt Actions | 24. Complaint Files | 37. Grade Reports |
| 9. Bank Deposits | 25. Contracts - General | 38. Grants Awarded |
| 10. Bank Reconciliations | 26. Course Change Requests | 39. Injury of Person Reports |
| 11. Bank Statements | 27. Course Syllabi | 40. Inter-Departmental
Billing |
| 12. Bids Accepted | 28. Crime Reports | 41. Invoices |
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49. Ohio Instructional Grant Rosters	64. Research Proposals, Rejected	79. Telephone Expense Records
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51. Parking Tickets - Paid	66. Residence Hall Advisor Files – Unselected	81. Time Cards and Sheets
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53. Police Daily Activity Report	68. Schedule, Master	83. Tuition Remission Applications
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1. Admission Files, Rejected

- Description: Includes letters of reference, application, and biographical data for rejected applicants and those who did not complete dossier
- IUC Number: EDU1100
- Retention: 1 year
- Disposition: destroy

2. Annual Reports

- Description: Annual report of the originating departments
- IUC Number: ACC1020
- Retention: 3 years
- Disposition: Transfer to University Archives
- Notes: Historical value

3. Application for Admission or Readmission (Reentry)

- Description: Forms requesting admission or readmission to institution
- IUC Number: EDU1100

- Retention: 1 year
- Disposition: destroy

4. Application for Graduation

- IUC Number: EDU1010
- Retention: Active + 1 year
- Disposition: destroy

5. Audit Authorizations

- Description: Approval forms to audit a class
- IUC Number: EDU1010
- Retention: Retain 1 year after audit or 3 years after date submitted
- Disposition: destroy

6. Audit Report

- Description: Final report of state or independent auditor
- IUC Number: FIN7010
- Retention: 4 years
- Disposition: Archives review for historical value

7. Awarded Grants Files

- Description: Files containing proposal, budgets, accounting information on grants received by faculty members from federal and state agencies and private foundations
- IUC Number: LEG2000
- Retention: Active + 5 years
- Disposition: Archives review for continuing administrative or historical value

8. Bad Debt Actions

- Description: Overdue accounts, such as library fines, parking tickets, loans, payment for services rendered
- IUC Number: FIN6000
- Retention: 4 years
- Disposition: destroy

9. Bank Deposits

- Description: Record of deposits in banking institutions
- IUC Number: FIN1000

- Retention: 4 years
- Disposition: destroy

10. Bank Reconciliations

- Description: Explanation of differences between bank statement balance and actual balance
- IUC Number: FIN1000
- Retention: 4 years
- Disposition: destroy

11. Bank Statements

- Description: Periodic statement of bank balances
- IUC Number: FIN1000
- Retention: 4 years
- Disposition: destroy

12. Bids Accepted

- Description: For purchases
- IUC Number: FIN8010
- Retention: Active + 5 years
- Disposition: destroy

13. Bids Rejected

- Description: For purchases
- IUC Number: FIN8000
- Retention: 3 years
- Disposition: destroy

14. Book Orders

- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

15. Budget Planning File

- IUC Number: FIN2000
- Retention: Retain while active, plus 1 year

- Disposition: destroy
- Notes: Original maintained by University Budget Office

16. Canceled Check

- IUC Number: FIN1000
- Retention: 4 years
- Disposition: destroy

17. Cash Receipt Journal

- IUC Number: ACC1010
- Retention: 6 years
- Disposition: destroy

18. Cash Register Tapes

- IUC Number: ACC30000
- Retention: 4 years
- Disposition: destroy

19. Check Distribution Lists

- IUC Number: ACC1000
- Retention: 1 year
- Disposition: destroy
- Notes: Official Record in Compensation Services

20. Check Register

- Description: Book or original entry for all cash disbursements paid by check
- IUC: FIN1000
- Retention: 4 years
- Disposition: destroy

21. Class Roster

- Description: Contains names of students for each course; issued by Registrar
- IUC Number: EDU1010
- Retention: 1 year
- Disposition: destroy

22. Collective Bargaining Agreements

- IUC Number: LEG2000
- Retention: Active + 5 years
- Disposition: Archives
- Review for continuing administrative or historical value

23. Commencement Programs

- IUC Number: EDU3000
- Retention: Indefinite
- Disposition: Archives

24. Complaint Files

- Description: Record of staff or student grievances based on equal opportunity and affirmative action regulations. Files arranged alphabetically.
- IUC Number: LEG4000
- Retention: Active + 6 years
- Disposition: destroy

25. Contracts-General

- IUC Number: LEG4000
- Retention: Active + 6 years
- Disposition: destroy

26. Course Change Requests

- Description: Application to Registrar
- IUC Number: EDU3000
- Retention: retain while active plus six years
- Disposition: destroy
- Archives receives permanent files for Registrar

27. Course Syllabi

- IUC Number: EDU3000
- Retention: Retain while active plus 6 years
- Disposition: destroy
- Notes: Archives retains course descriptions published in catalogs and bulletins permanently

28. Crime Reports

- Description: Reports created by CSU police on campus criminal activity
- IUC Number: LEG4000
- Retention: Active + 6 years
- Disposition: archives reviews for continuing administrative or historical value

29. Delinquent Accounts Report

- Description: Listing of students who owe money to university
- IUC Number: FIN6000
- Retention: 4 years
- Disposition: destroy

30. Deposit Record

- IUC Number: FIN1000
- Retention: 4 years
- Disposition: destroy

31. Environmental Monitoring Records

- IUC Number: ENV1000
- Retention: 5 years
- Disposition: destroy

32. Financial Accounting Statement

- Description: Issued monthly by CSU Controller who has official record; profiles record of expenses, income, and balances for each account
- IUC Number: ACC3000
- Retention: 3 years
- Disposition: destroy

33. Financial Aid Canceled Check Records

- Description: Canceled checks, check stubs, and check journals showing payments for financial aid made to students
- IUC Number: ACC100
- Retention: 4 years
- Disposition: destroy

34. Financial Report

- Description: Consolidated year-end report of financial situation showing assets and liabilities
- IUC Number: FIN7000
- Retention: 4 years
- Disposition: archives

35. General Files

- Description: Consists of correspondence, reports, and publications of other departments of CSU and external agencies
- IUC Number: ADM9900
- Retention: 1 year
- Disposition: destroy

36. General Files, Upper Administrative

- Description: Pertains to files of upper-level administrators, deans, directors, and chairs
- IUC Number: ADM9910
- Retention: 3 years
- Disposition: destroy all materials not documenting a significant action or interaction; transfer remainder to University Archives

37. Grade Reports

- Description: Faculty grade reports
- IUC Number: EDU1000
- Retention: Retain while active, plus 6 years
- Disposition: destroy
- Note: Registrar has official record permanently

38. Grants Awarded

- Description: Financial records of grant money awarded for research projects
- IUC Number: LEG2000
- Retention: Active + 5 years
- Disposition: destroy

39. Injury of Person Reports

- Description: Reports created by CSU Police department on ill or injured persons transported to local hospitals from campus

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- IUC Number: LEG4000
- Retention: Active + 6 years

- Disposition: destroy

40. Inter-Departmental Billing

- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

41. Invoices

- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

42. Journals

- Description: Includes Accounts Payable and Receivable and Aging of Accounts
- IUC Number: ACC1010
- Retention: 6 years
- Disposition: destroy

43. Land Purchase Records

- Description: Copies of deeds, leases, purchase agreements, appraisals, etc., documenting purchase of land institution. Original deed maintained by Ohio State Auditor.
- IUC Number: LEG2000
- Retention: Active + 5 years
- Disposition: Archives. Review for historical value.

44. Leave Record - Classified Staff

- Description: Forms used to document sick/vacation leave includes hiring date, longevity date, amount of sick/vacation leave accrued
- IUC Number: PER3010
- Retention: 5 years
- Disposition: destroy

45. Leave Record – Faculty

- Description: Vacation and sick earned and used
- IUC Number: PER3000

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- Retention: Active + 6 years
- Disposition: destroy

46. Minutes

- Description: Of committees, task forces, and so forth
- IUC Number: ADM9910
- Retention: 3 years
- Disposition: Transfer to University Archives
- Notes: Historic value

47. Newspaper Clippings

- Description: Concerning the activities of a CSU department
- IUC Number: PUB3000
- Retention: 3 years
- Disposition: Transfer to University Archives

48. Ohio Board of Regents

- IUC Number: EDU3000
- Retention: Indefinite
- Disposition: archives

49. Ohio Instructional Grant Rosters

- Description: List of students receiving grants for academic year
- IUC Number: EDU2000
- Retention: Active + 6 years
- Disposition: destroy

50. Parking Permit Applications

- Description: Application for parking permit/decal-non-fee
- IUC Number: ADM9900
- Retention: 1 year
- Disposition: destroy

51. Parking Tickets - Paid

- IUC Number: ACC100
- Retention: 4 years
- Disposition: destroy

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52. Payroll Deduction Authorizations

- Description: All forms used to authorize deductions for charitable organizations, credit unions, union dues, U.S. Savings Bonds, etc.

- IUC Number: PER1030
- Retention: Active + 6 years
- Disposition: destroy

53. Police Daily Activity Report

- IUC Number: ADM9900
- Retention: 1 year
- Disposition: destroy

54. President/Vice President/Director/Dean/Chair Subject Files

- Description: Files of correspondence, reports, memoranda, etc., documenting activities of these offices
- IUC Number: ADM9910
- Retention: 3 years
- Disposition: Archives. Review for continuing administrative or historical value.

55. Promotion and Tenure Policy - Faculty

- Description: Copy of departmental guidelines, policies, procedures, notices of guidelines, administrative memo, lists of eligible faculty
- IUC Number: ADM3020
- Retention: 10 years
- Disposition: Archives. Review for historical value.

56. Promotion and Tenure Files

- Description: Faculty dossier that consists of copies of documentation of teaching, research, and community service
- IUC Number: PER3010
- Retention: Retain 5 years after date of decision
- Disposition: destroy
- Notes: Archives receive permanent files from Academic Affairs

57. Publications of Department

- Description: Includes newsletters, brochures
- IUC Number: PUB3000

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- Retention: Retain while active
- Disposition: Transfer 1 copy to University Archives
- Notes: Historical value

58. Purchase Orders

- IUC Number: FIN8010
- Retention: 3 years
- Disposition: destroy

59. Quarterly Activity Reports

- Description: Quarterly record of faculty teaching, research, and community service
- IUC Number: PER3000
- Retention: 2 years
- Disposition: destroy
- Notes: Report also in CSU Personnel

60. Receipts (All)

- IUC Number: EDU1100
- Retention: 1 year
- Disposition: destroy

61. Records Destruction Record

- IUC Number: ADM3020
- Retention: 10 years
- Disposition: destroy

62. Requisitions

- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

63. Research Proposals, Approved

- IUC Number: LEG2000
- Retention: Retain 5 years after expiration of project
- Disposition: destroy
- Notes: The Office of Sponsored Research has administrative responsibility

64. Research Proposals, Rejected

- IUC Number: ADM9900
- Retention: 1 year
- Disposition: destroy

65. Residence Hall Advisor Files

- Description: Files on candidates selected for employment as residence hall advisors
- IUC Number: PER3000
- Retention: active + 6 years
- Disposition: destroy

66. Residence Hall Advisor Files - Unselected

- Description: Files on candidates not selected as residence hall advisors
- IUC Number: PER2000
- Retention: 3 years
- Disposition: destroy

67. Search Committee Files - Faculty

- Description: Records of individuals who applied or interviewed for positions for which a committee was formed
- IUC Number: PER2000
- Retention: 3 years
- Disposition: destroy

68. Schedule, Master

- Description: Quarterly listing of courses actually given; original maintained permanently by Registrar
- IUC Number: EDU3000
- Retention: 6 years
- Disposition: destroy

69. Schedule of Classes

- Description: Schedule of classes offered each term by university
- IUC Number: EDU3000
- Retention: indefinite
- Disposition: archives

70. Search Committee Records

- Description: Consists of job postings, lists of candidates, final report
- IUC Number: PER2000
- Retention: 3 years
- Disposition: destroy

71. Student Account Files

- Description: Files on individual students' paid and unpaid accounts including loan applications, correspondence, account record, etc.
- IUC Number: ACC100
- Retention: 4 years
- Disposition: destroy

72. Student Aid Accounting Billing Letters

- Description: Concerns students who withdrew or reduced credit hours and were billed for the return of surplus aid money
- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

73. Student Files

- Description: Includes admission data, grade record, curriculum changes
- IUC Number: EDU1000
- Retention: Retain while active, plus 6 years
- Disposition: destroy
- Notes: Registrar has official record

74. Student Insurance Records

- Description: Records of students enrolled in university or college health program
- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

75. Student Statistics

- Description: Enrollment reports, grade point studies
- IUC Number: EDU3010
- Retention: 10 years

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- Disposition: Review for possible destruction
- Notes: May have continuing value of department

76. Student Time Reports

- Description: Records of hours worked by student employees
- IUC Number: PER6000
- Retention: 5 years
- Disposition: destroy

77. Surplus Property Records

- IUC Number: ADM2020
- Retention: 6 years
- Disposition: destroy

78. Suspension File - Classified Staff

- Description: Record of suspended university employees including names, classification, department, reason for suspension and duration of suspension, pertinent supporting documentation
- IUC Number: PER3010
- Retention: 5 years
- Disposition: destroy

79. Telephone Expense Records

- Description: Periodic reports of long distance and local phone charges
- IUC Number: ACC1000
- Retention: 10 years
- Disposition: destroy

80. Tests

- Description: Examinations by students leading to a grade and to a posting on the official student record of the Registrar
- IUC Number: EDU1010
- Retention: 1 year
- Disposition: destroy

81. Time Cards and Sheets

- IUC Number: PER6000
- Retention: 3 years
- Disposition: destroy

82. Travel

- Description: Reimbursement for University-related travel
- IUC Number: ACC1000

- Retention: 4 years
- Disposition: destroy

83. Tuition Remission Applications

- Description: Record of tuition waivers for employees and dependents
- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

84. Unawarded Grant Files

- Description: Applications and proposals by faculty for grants that were not funded
- IUC Number: ADM9900
- Retention: 1 year
- Disposition: destroy

85. Union Dues Membership List – Classified Staff

- Description: Copy of biweekly listing of university or college employees paying dues to unions, including pertinent personal data, classification and department
- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

86. University Governance Files

- Description: Files of minutes of boards committees/governance groups documenting official actions of governing bodies
- IUC Number: ADM9910
- Retention: 3 years
- Disposition: Archives. Review for continuing administrative or historical value.

87. Vending Commission Income Records

- Description: Record of money received as commission on vending contracts
- IUC Number: ACC1000
- Retention: 4 years
- Disposition: destroy

88. W-4 Forms

- Description: Forms completed by employee showing federal tax withholding exemptions
- IUC Number: Per1030

- Retention: Active + 6 years
- Disposition: destroy

89. Work-Study Student Files

- Description: Contains application, PERS exemption form, and evaluations of students employed under Work Study Program
- IUC Number: EDU2000
- Retention: Active + 5 Years
- Disposition: destroy