

PROCEDURE NO. 304.1
Area: General Administration

Adopted: May 20, 2003

Certified by _____
Curtis Pettis
Vice President for Administration

*Original signature on file in
Office of General Counsel*

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Subject: RECORDS RETENTION PROCEDURES

The following lists records common to many university offices and departments and the appropriate period of minimum retention. Note that Central State University has adopted a records retention program consistent with the retention periods developed by the Inter-University Council of Ohio (IUC) and as published in the IUC's "Records Retention for Public Colleges and Universities in Ohio" manual.

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.

I. ACCOUNTING AND FINANCIAL RECORDS

1. Annual Reports
2. Audit Report
3. Awarded Grant Files
4. Bad Debt Actions
5. Bank Deposits
6. Bank Reconciliations
7. Bank Statements
8. Bids Accepted
9. Bids Rejected
10. Book Orders
11. Budget Planning Files
12. Canceled Checks
13. Cash Receipt Journal
14. Cash Register Tapes
15. Check Distribution Lists
16. Check Register
17. Delinquent Accounts Report
18. Deposit Records

19. Interdepartmental Billing
20. Financial Accounting Statement
21. Financial Aid Canceled Check Records
22. Financial Report
23. Invoices
24. Journals
25. Land Purchase Records
26. Purchase Orders
27. Quarterly Activity Reports
28. Receipts (All)
29. Student Account Files
30. Student Aid Accounting Billing Letters
31. Telephone Expense Records
32. Travel
33. Vending Commission Income Records
34. W-4 Forms
35. Parking Permit Applications
36. Parking Tickets – Paid
37. Payroll Deduct Authorizations
38. Surplus Property Records
39. Time Cards

II. ADMINISTRATIVE RECORDS

1. Admission Files, Rejected
2. Application for Admission or Readmission (Reentry)
3. Application for Graduation
4. Collective Bargaining Agreements
5. Commencement Programs
6. General Files
7. General Files, Upper Administrative
8. Grants Awarded
9. Minutes
10. Newspaper Clippings
11. Ohio Board of Regents
12. Ohio Instructional Grant Rosters
13. Police Daily Activity Report
14. President/Vice President/- Director/Dean/Chair Subject Files
15. Promotion and Tenure Policy – Faculty
16. Promotion and Tenure Files
17. Publications of Department
18. Records Destructions Record
19. Requisitions
20. Research Proposals, Approved
21. Research Proposals, Rejected
22. Tuition Remission Applications
23. Unawarded Grant Files
24. Union Dues Membership List – Classified Staff
25. University Governance Files
26. Search Committee Files – Faculty

27. Search Committee Records

**III. HUMAN RESOURCES AND PERSONNEL RECORDS
(FACULTY AND NON-FACULTY)**

1. Personnel Records
2. Injury of Person Reports
3. Leave Record – Classified Staff
4. Leave Record – Faculty
5. Suspension File – Classified Staff

IV. INFORMATION TECHNOLOGY RECORDS

1. Data Systems Audit Trail Files
2. Data Systems Backup Files
3. Data Systems Documentation
4. Data Systems Equipment Support Files
5. Data Systems Policies
6. Data Systems Test Databases/Files
7. Data Systems Usage Files
8. Data Systems Users Access Records
9. Disaster Recovery Plans

V. LEGAL RECORDS

1. Collective Bargaining Agreements
2. Complaint Files
3. Contracts – General
4. Crime Reports
5. Environmental Monitoring Records

VI. STUDENT AND COURSE RECORDS

1. Admission Files, Rejected
2. Application for Admission or Readmission (Reentry)
3. Application for Graduation
4. Audit Authorizations
5. Class Roster
6. Course Change Requests
7. Course Syllabi
8. Grade Reports
9. Residence Hall Advisor Files-Selected
10. Residence Hall Advisor Files-Unselected
11. Schedule, Master
12. Schedule of Class
13. Student Files
14. Student Insurance Records
15. Student Statistics
16. Student Time Reports
17. Tests
18. Work -Study Student File

I. ACCOUNTING AND FINANCIAL RECORDS

I.1. Annual Reports

- Description: Annual report of the originating departments
- Retention: Creation + 4 years
- Disposition: Transfer to University Archives
- Notes: Historical value

I.2. Audit Report

- Description: Final report of state or independent auditor
- Retention: Active + 4 years
- Disposition: Archives review for historical value

I.3. Awarded Grants Files

- Description: Files containing proposal, budgets, accounting information on grants received by faculty members from federal and state agencies and private foundations
- Retention: Active + 6 years
- Disposition: Archives review for continuing administrative or historical value

I.4. Bad Debt Actions

- Description: Overdue accounts, such as library fines, parking tickets, loans, payment for services rendered
- Retention: Creation + 4 years
- Disposition: Destroy

I.5. Bank Deposits

- Description: Record of deposits in banking institutions
- Retention: Creation + 4 years
- Disposition: Destroy

I.6. Bank Reconciliations

- Description: Explanation of differences between bank statement balance and actual balance
- Retention: Creation + 4 years
- Disposition: Destroy

I.7. Bank Statements

- Description: Periodic statement of bank balances
- Retention: Creation + 4 years
- Disposition: Destroy

I.8. Bids Accepted

- Description: For purchases
- Retention: Active + 6 years
- Disposition: Destroy

I.9. Bids Rejected

- Description: For purchases
- Retention: Creation + 3 years
- Disposition: Destroy

I.10. Book Orders/Store Management Documentation

- Retention: Creation + 4 years
- Disposition: Destroy

I.11. Budget Planning File

- Retention: Active + 1 year
- Disposition: Destroy
- Notes: Original maintained by University Budget Office

I.12. Canceled Checks

- Retention: Creation + 4 years
- Disposition: Destroy

I.13. Cash Receipt Journal

- Retention: Creation + 4 years
- Disposition: Destroy

I.14. Cash Register Tapes

- Retention: Creation + 4 years
- Disposition: Destroy

I.15. Check Distribution Lists

- Retention: Creation + 4 years
- Disposition: Destroy
- Notes: Official Record in Compensation Services

I.16. Check Register

- Description: Book or original entry for all cash disbursements paid by check
- Retention: Creation + 4 years
- Disposition: Destroy

I.17. Delinquent Accounts Report

- Description: Listing of students who owe money to university
- Retention: Creation + 4 years
- Disposition: Destroy

I.18. Deposit Record

- Retention: Creation + 4 years
- Disposition: Destroy

I.19. Inter-Departmental Billing

- Retention: Creation + 4 years
- Disposition: Destroy

I.20. Financial Accounting Statement

- Description: Issued monthly by CSU Controller who has official record; profiles record of expenses, income, and balances for each account
- Retention: Creation + 5 years
- Disposition: Destroy

I.21. Financial Aid Canceled Check Records

- Description: Canceled checks, check stubs, and check journals showing payments for financial aid made to students
- Retention: Creation + 4 years
- Disposition: Destroy

I.22. Financial Report

- Description: Consolidated year-end report of financial situation showing assets and liabilities
- Retention: Creation + 4 years
- Disposition: Archives

I.23. Invoices

- Retention: Creation + 4 years
- Disposition: Destroy

I.24. Journals

- Description: Includes Accounts Payable and Receivable and Aging of Accounts
- Retention: Creation + 4 years
- Disposition: Destroy

I.25. Land Purchase Records

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

I.26. Purchase Orders

- Retention: Active + 6 years
- Disposition: Destroy

I.27. Quarterly Activity Reports

- Description: Quarterly record of faculty teaching, research, and community service
- Retention: Active + 6 years
- Disposition: Destroy
- Notes: Report also in CSU Personnel

I.28. Receipts (All)

- Retention: Creation + 4 years
- Disposition: Destroy

I.29. Student Account Files

- Description: Files on individual students paid and unpaid accounts including loan applications, correspondence, account record, etc.
- Retention: Creation + 4 years
- Disposition: Destroy

I.30. Student Aid Accounting Billing Letters

- Description: Concerns students who withdrew or reduced credit hours and were billed for the return of surplus aid money
- Retention: Creation + 4 years
- Disposition: Destroy

I.31. Telephone Expense Records

- Description: Periodic reports of long distance and local phone charges
- Retention: Creation + 4 years
- Disposition: Destroy

I.32. Travel

- Description: Reimbursement for University-related travel
- Retention: Creation + 4 years
- Disposition: Destroy

I.33. Vending Commission Income Records

- Description: Record of money received as commission on vending contracts
- Retention: Creation + 4 years
- Disposition: Destroy

I.34. W-4 Forms

- Description: Forms completed by employee showing federal tax withholding exemptions
- Retention: Active + 6 years
- Disposition: Destroy

I.35. Parking Permit Applications

- Description: Application for parking permit/decal-non-fee
- Retention: Creation + 1 year
- Disposition: Destroy

I.36. Parking Tickets - Paid

- Retention: Creation + 4 years
- Disposition: Destroy

I.37. Payroll Deduction Authorizations

- Description: All forms used to authorize deductions for charitable organizations, credit unions, union dues, U.S. Savings Bonds, etc.
- Retention: Active + 6 years
- Disposition: Destroy

I.38. Surplus Property Records

- Retention: Active + 6 years
- Disposition: Destroy

I.39. Time Cards and Sheets

- Retention: Creation + 5 years
- Disposition: Destroy

II. ADMINISTRATIVE RECORDS

II.1. Admission Files, Rejected

- Description: Includes letters of reference, application, and biographical data for rejected applicants and those who did not complete dossier
- Retention: Active + 1 year
- Disposition: Destroy

II.2. Application for Admission or Readmission (Reentry)

- Description: Forms requesting admission or readmission to institution
- Retention: Active + 1 year (matriculate) / Creation + 1 (do not matriculate)
- Disposition: Destroy

II.3. Application for Graduation

- Retention: Active + 1 year
- Disposition: Destroy

II.4. Collective Bargaining Agreements

- Retention: Active + 6 years
- Disposition: Archives
- Review for continuing administrative or historical value

II.5. Commencement Programs

- Retention: Indefinite
- Disposition: Archives

II.6. General Files

- Description: Consists of correspondence, reports, and publications of other departments of CSU and external agencies
- Retention: Creation + 1 year
- Disposition: Destroy

II.7. General Files, Upper Administrative

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

II.8. Grants Awarded

- Description: Financial records of grant money awarded for research projects
- Retention: Active + 6 years
- Disposition: Destroy

II.9. Minutes

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

II.10. Newspaper Clippings

- Description: Concerning the activities of a CSU department
- Retention: Creation + 3 years
- Disposition: Transfer to University Archives

II.11 Ohio Board of Regents

- Retention: Indefinite
- Disposition: Archives

II.12. Ohio Instructional Grant Rosters

- Description: List of students receiving grants for academic year
- Retention: Active + 6 years
- Disposition: Destroy

II.13. Police Daily Activity Report

- Retention: Creation + 1 year
- Disposition: Destroy

II.14. President/Vice President/Director/Dean/Chair Subject Files

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

II.15. Promotion and Tenure Policy - Faculty

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

II.16. Promotion and Tenure Files

- Description: Faculty dossier that consists of copies of documentation of teaching, research, and community service
- Retention: Creation + 5 years
- Disposition: Destroy
- Notes: Archives receive permanent files from Academic Affairs

II.17. Publications of Department

- Description: Includes newsletters, brochures
- Retention: Creation + 5 years
- Disposition: Transfer 1 copy to University Archives
- Notes: Historical value

II.18. Records Destruction Record

- Retention: Creation + 10 years
- Disposition: Destroy

II.19. Requisitions

- Retention: Creation + 4 years
- Disposition: Destroy

II.20. Research Proposals, Approved

- Retention: Active + 6 years
- Disposition: Destroy
- Notes: The Office of Sponsored Research has administrative responsibility

II.21. Research Proposals, Rejected

- Retention: Creation + 1 year
- Disposition: Destroy

II.22. Tuition Remission Applications

- Description: Record of tuition waivers for employees and dependents
- Retention: Creation + 4 years
- Disposition: Destroy

II.23. Unawarded Grant Files

- Description: Applications and proposals by faculty for grants that were not funded
- Retention: Creation + 1 year
- Disposition: Destroy

II.24. 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
- Retention: Creation + 4 years
- Disposition: Destroy

II.25. University Governance Files

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

II.26. Search Committee Files - Faculty

- Description: Records of individuals who applied or interviewed for positions for which a committee was formed
- Retention: Creation + 3 years
- Disposition: Destroy

II.27. Search Committee Records

- Description: Consists of job postings, lists of candidates, final report
- Retention: Creation + 3 years
- Disposition: Destroy

III. HUMAN RESOURCES AND PERSONNEL RECORDS

III.1. Personnel Files

- Description: Consists of all personnel files
- Retention: Creation + 6 years
- Disposition: Archives,

III.2. Injury of Person Reports

- Description: Reports created by CSU Police department on ill or injured persons transported to local hospitals from campus
- Retention: Active + 6 years
- Disposition: Destroy

III.3. Leave Record - Classified Staff

- Description: Forms used to document sick/vacation leave includes hiring date, longevity date, amount of sick/vacation leave accrued
- Retention: Creation + 5 years
- Disposition: Destroy

III.4. Leave Record – Faculty

- Description: Vacation and sick earned and used
- Retention: Active + 6 years
- Disposition: Destroy

III.5. Suspension File - Classified Staff

- Description: Record of suspended university employees including names, classification, department, reason for suspension and duration of suspension, pertinent supporting documentation
- Retention: Creation + 5 years
- Disposition: Destroy

IV. INFORMATION TECHNOLOGY RECORDS

IV.1. Data Systems Audit Trail Files

- Description: Consisting of data generated during the creation of a master file or database used to validate a master file or database during a processing cycle.
- Retention: 4 years
- Disposition: Destroy

IV.2. Data Systems Backup Files

- Description: Copies of master files or databases, application software, logs, directories, and other documentation needed to restore a system in case of disaster or disruption.
- Retention: Active + 6 Years
- Disposition: Destroy

IV.3. Data Systems Documentation

- Description: Includes application development files, source code, data systems specifications, data documentation, hardware documentation and conversion/migration plans.
- Retention: Active + 3 Years
- Disposition: Destroy

IV.4. Data Systems Equipment Support Files

- Description: Information on data processing equipment, software, and other products and their vendors. Record of support services provided for specific data processing equipment, including site visit reports, service reports, service histories, and correspondence.
- Retention: Active + 4 Years
- Disposition: Destroy

IV.5. Data Systems Policies

- Description: Provides for data processing, including access, security, systems development, data retention and disposition, and data ownership. Records of procedures for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of a data processing operation.
- Retention: Active + 10 Years
- Disposition: Destroy

IV.6. Data Systems Test Databases/Files

- Description: Routine or benchmark data sets, related documentation, and test results constructed or used to test or develop a system
- Retention: Active + 3 Years
- Disposition: Destroy

IV.7. Data Systems Usage Files

- Description: Records created to monitor computer system and network usage, including but not limited to log-in files, system usage files, data entry logs, and records of individual computer program usage.
- Retention: 30 days and until of no further value
- Disposition: Destroy

IV.8. Data Systems Users Access Records

- Description: Records created to control or monitor individual access to a system for security purposes, including but not limited to user account records, security logs and password files.
- Retention: Active + 1 Year
- Disposition: Destroy

IV.9. Disaster Recovery Plans

- Description: Records related to reestablishment of data processing services in case of a disaster or other service disruption.
- Retention: Active + 10 Years
- Disposition: Destroy

V. LEGAL RECORDS

V.1. Collective Bargaining Agreements

- Retention: Active + 6 years
- Disposition: Archives
- Review for continuing administrative or historical value

V.2. Complaint Files

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

V.3. Contracts-General

- Retention: Active + 6 years
- Disposition: Destroy

V.4. Crime Reports

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

V.5. Environmental Monitoring Records

- Retention: Creation + 5 years
- Disposition: Destroy

VI. STUDENT AND COURSE RECORDS

VI.1. Admission Files, Rejected

- Description: Includes letters of reference, application, and biographical data for rejected applicants and those who did not complete dossier
- Retention: Active + 1 year
- Disposition: Destroy

VI.2. Application for Admission or Readmission (Reentry)

- Description: Forms requesting admission or readmission to institution
- Retention: Active + 1 year (matriculate) / Creation + 1 (do not matriculate)
- Disposition: Destroy

VI.3. Application for Graduation

- Retention: Active + 1 year
- Disposition: Destroy

VI.4. Audit Authorizations

- Description: Approval forms to audit a class
- Retention: Active + 3 years
- Disposition: Destroy

VI.5. Class Roster

- Description: Contains names of students for each course; issued by Registrar
- Retention: Active + 3 years
- Disposition: Destroy

VI.6. Course Change Requests

- Description: Application to Registrar
- Retention: Active + 3 years
- Disposition: Destroy
- Archives receives permanent files for Registrar

VI.7. Course Syllabi

- Retention: Indefinite
- Disposition: Archives

VI.8. Grade Reports

- Description: Faculty grade reports
- Retention: Active + 1 year
- Disposition: Destroy
- Note: Registrar has official record permanently

VI.9. Residence Hall Advisor Files

- Description: Files on candidates selected for employment as residence hall advisors
- Retention: Active + 6 years
- Disposition: Destroy

VI.10. Residence Hall Advisor Files - Unselected

- Description: Files on candidates not selected as residence hall advisors
- Retention: Creation + 3 years
- Disposition: Destroy

VI.11. Schedule, Master

- Description: Quarterly listing of courses actually given; original maintained permanently by Registrar
- Retention: Indefinite
- Disposition: Archives

VI.12. Schedule of Classes

- Description: Schedule of classes offered each term by university
- Retention: Indefinite
- Disposition: Archives

VI.13. Student Files

- Description: Includes admission data, grade record, curriculum changes
- Retention: Retain while active, plus 6 years
- Disposition: Destroy
- Notes: Registrar has official record retained indefinitely and archived

VI.14. Student Insurance Records

- Description: Records of students enrolled in university or college health program
- Retention: Creation + 4 years
- Disposition: Destroy

VI.15. Student Statistics

- Description: Enrollment reports, grade point studies
- Retention: Indefinite
- Disposition: Review for possible destruction
- Notes: May have continuing value of department

VI.16. Student Time Reports

- Description: Records of hours worked by student employees
- Retention: Creation + 5 years
- Disposition: Destroy

VI.17. Tests

- Description: Examinations by students leading to a grade and to a posting on the official student record of the Registrar
- Retention: Active + 1 year
- Disposition: Destroy

VI.18. Work-Study Student Files

- Description: Contains application, PERS exemption form, and evaluations of students employed under Work Study Program
- Retention: Active + 6 Years
- Disposition: Destroy