

3357:13-17-51 Records Retention Policy

(A) Purpose: Records are vitally important in the operation of any business, political subdivision, or state agency. They serve as the memory, are the evidence of past events, and are the basis for future actions. When created, maintained, and disposed of in an orderly and systematic manner, records can be an asset. When created, maintained, and disposed of in a haphazard and disorderly manner, they can reduce the effectiveness of the organization and increase costs substantially. The purpose of this policy is to provide the basic principles in which to accomplish a workable records management program.

(B) Objectives: The objectives of the records retention policy are as follows:

- (1) Save space. Office space can be better utilized by removing those records not required for daily operations, by removing from storage areas records that no longer have significant value, and by maintaining a regular controlled flow of records from office to storage to destruction.
- (2) Save money. A records problem develops when more records come in than flow out. A cost savings can be realized with an effective records management program by controlling and cutting the purchases of additional equipment and supplies used for filing unneeded records which accumulate. The program also provides the mechanism for storing less active records in a low-cost storage area.
- (3) Save time. Uncontrolled records retention practices can create a time problem by letting records build up in both office and storage areas. It becomes more difficult to find material. Time can be saved in locating records by removing inactive material from office files, by instituting a system whereby each department knows what records it has and where they are kept, and by providing an orderly method of storing inactive records.
- (4) Document administrative activities. Administrative records are the recorded information made or received by the College in the course of its administrative activities and kept as evidence of those activities, often to meet statutory and accreditation requirements.

(C) Records Retention

There are five (5) general categories of retention:

- (1) Indefinite Records: 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. Indefinite records may include, but are not limited to:
 - (a) Board of Trustees meeting minutes and record of resolutions
 - (b) Articles of Incorporation and Amendments

- (c) IPEDS Reports
- (d) Curriculum Catalogs (official course bulletins of the institution)
- (e) Graduation Commencement Programs/Graduation Lists
- (f) Tuition and Fee Schedule (listing of fee charges for each term by the institution)

(2) Long-Term Records: 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. Long-term records may include, but are not limited to:

- (a) Building Blueprints (the as-built construction drawings)
- (b) Environmental Impact Assessment of Construction Projects
- (c) Fixed Asset Records (Inventory and other information on capitalized assets)
- (d) Records Destruction Documentation
- (d) Employee Performance Evaluations

(3) Intermediate Records: 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. Intermediate records may include, but are not limited to:

- (a) Academic grievance files (files documenting grievances of students against faculty)
- (b) Student disciplinary files (files maintained by student affairs on students who have been accused of disciplinary violations.)
- (c) Reports to federal government on expenditures for federal programs
- (d) Record of awards by state agency for handicapped students
- (e) Work-study student files
- (f) Documents of Head Start meetings and grantee level matters
- (g) Records containing information on grants received by faculty from federal and state agencies and private foundation

(4) Transient Records: 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 may be as 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:

- (a) preliminary drafts (when superseded)
- (b) memoranda (paper-based or email) pertaining to scheduling an event
- (c) documents designated as superseded or as-updated
- (d) user copies (not original document)
- (e) routing slips

(5) 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:

- (a) personal correspondence
- (b) non-university publications
- (c) Listserv® materials
- (d) junk mail/spam
- (e) catalogs (does not refer to the College's official "College Catalog")
- (f) journals, books, other library materials
- (g) faculty papers (Faculty papers are the property of the faculty member, not the College and as such are not College records.) (see also 14-263 Academic Records Retention Policy)

(D) Schedule:

- (1) Routinely and appropriately disposing of Transient and Non-Records, can enable us to 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.
- (2) Guidelines for records retention and disposition are in accordance with [Records Retention for Public Colleges and Universities in Ohio: A Manual, November, 2009](#), Records Retention Schedule (see [17-511 NCSC General Records Retention Schedule](#)).
- (3) Destruction of administrative records should be documented by using the Certificate of Records Destruction ([form 17-51a](#) is available for download or available in the Business Office).

(4) Completed Certificates should be sent to the Vice President for Business Services PRIOR to destruction of records.

Effective: September 24, 2019

Expires: September 1, 2024

Review Dates: 1/25/06, 6/25/19, 9/24/19