

Records Management



University of Cincinnati Records
Management Program

Policy and Procedure Guide

Revised November 2006

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University of Cincinnati Records Management

PROGRAM DESCRIPTION & OBJECTIVES.....	2
PROGRAM DESCRIPTION.....	2
OHIO REVISED CODE.....	2
UC BOARD OF TRUSTEES RULE.....	3
YOUR WORK RESPONSIBILITY.....	3
<i>University Mission</i>	3
RECORDS DEFINITIONS.....	3
POLICIES & PROCEDURES	3
RECORDS INVENTORY	3
<i>What is a Records Inventory?</i>	3
<i>Steps to Complete the Records Inventory</i>	3
<i>Completing the Records Inventory Forms</i>	3
RECORDS RETENTION SCHEDULES	3
<i>Reading the Schedules</i>	3
<i>Sample Records Retention Schedule</i>	3
<i>Timeline for Completion/Revision of Records Retention Schedules</i>	3
RECORDS DISPOSAL	3
<i>Transfer of Records to the University Archives</i>	3
<i>Destruction of Records</i>	3
<i>Certificates of Records Disposal</i>	3
ANNIVERSARY AND PROGRAM MAINTENANCE	3
RETRIEVAL OF ARCHIVED MATERIALS.....	3
ABOUT THE DEPARTMENT	3
CONSULTING	3
WORKSHOPS/OPEN HOUSE.....	3
LIB-RECMGMT LISTSERV	3
CONTACT INFORMATION	3
GENERAL RECORDS INFORMATION	3
INACTIVE RECORD STORAGE.....	3
MICROFILMING & DIGITAL IMAGING	3
ELECTRONIC RECORDS MANAGEMENT	3
EMAIL MANAGEMENT	3
APPENDIX	3
SAMPLE RECORDS RETENTION SCHEDULE	3
SIMPLIFIED RECORDS INVENTORY FORM	3
STANDARD RECORDS INVENTORY FORM.....	3
CERTIFICATE OF RECORDS DISPOSAL.....	3
INTER-UNIVERSITY COUNCIL RETENTION GUIDE.....	3

Program Description & Objectives

Program Description

Established in 1979 by President Henry R. Winkler in compliance with Section 149.33 of The Ohio Revised Code and administered through the University Archives, the program is guided by the following objectives:

- To promote the administrative efficiency at the University by removing inactive or obsolete records from offices.
- To protect the University by ensuring compliance with all internal, state, and federal policies regarding the creation and disposition of University records.
- To ensure that all documents of administrative or historical value are rightfully preserved through transfer to the University Archives.

The program provides the following for the University:

- Records will be maintained in their respective office only as long as is necessary which will relieve files of space-consuming non-current documents and improve access to current records.
- Records Retention Schedules for each University department identifying and protecting vital records.
- Assistance and advisement on filing systems, alternative record formats (imaging and micrographics), and email.
- Annual review of Records Retention Schedule.

Ohio Revised Code

Chapter 149 of the Ohio Revised Code deals with documents, reports and records.

§149.351. Prohibition against destruction or damage of records

(A) All records are the property of the public office concerned and shall not be removed, destroyed, mutilated, transferred, or otherwise damaged or disposed of, in whole or in part, except as provided by law or under the rules adopted by the records commissions provided for under sections 149.38 to 149.42 of the Revised Code or under the records programs established by the boards of trustees of state-supported institutions of higher education under section 149.33 of the Revised Code. Such records shall be delivered by outgoing officials and employees to their successors and shall not be otherwise removed, transferred, or destroyed unlawfully.

§149.33. State records program

(A) The department of administrative services shall have responsibility for establishing and administering a state records program for all state agencies, except for state-

supported institutions of higher education. The department shall apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposition of state records.

There is hereby established within the department of administrative services a state records program, which shall be under the control and supervision of the director of administrative services or the director's appointed deputy.

(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.

UC Board of Trustees Rule

Title: Records: Records creation and retention requirements.

Division: 10: Administration

Number: 10-43-10

- A. The University of Cincinnati has adopted this rule for establishing and administering its records program in order to apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposition of its records. The program shall be administered by the archives and rare books department of the university libraries ("university archives"), which shall have authority to develop administrative procedures and guidelines to implement this rule.
- B. "Records" includes any document, device, or item, regardless of physical form or characteristic, that is created or received by or comes under the jurisdiction of the university and which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the university.
- C. "Non-record materials" are documents, devices, or items in the university's custody that do not meet the above definition because they are not needed to document the organization, functions, policies, decisions, procedures, operations, or other activities of the university. Examples include rough notes and drafts which do not contain any information that needs to be preserved, or which merely duplicate information that is being preserved in other documents that are records; extra copies of documents kept only for reference; stocks of publications and processed documents; and library or museum materials intended solely for reference or exhibition. Personal records of employees that are clearly marked as

such and not intermingled with university records, and third parties' records which are temporarily in the custody of the university but do not serve to document the organization, functions, policies, decisions, procedures, operations, or other activities of the university are also excluded from the definition of records. Paragraph (e) of this rule does not apply to non-record materials, which may be retained or discarded in the discretion of the employees who create or receive them.

- D. University employees shall make such records as are necessary for the adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the university and for the protection of the legal and financial rights of the state and persons directly affected by the university's activities. The creation of unnecessary and duplicative records should be avoided.
- E. University records shall be retained for such period as is required by retention schedules established by the university archives, and may be disposed of only in accordance with disposition instructions issued by the university archives. Removal, destruction, mutilation, alteration, transfer, or other disposition of university records except as authorized by this rule is prohibited and may result in disciplinary action.
- F. Each vice president or other officer having custody of university records shall appoint one or more persons to administer the records in his or her custody in accordance with the requirements of this rule. Each person so appointed shall cooperate with the university archives in preparing an inventory of such records and shall be responsible for complying with the administrative procedures and guidelines that are established to implement this rule.

Effective Date:	December 16, 1999
Certified by:	Virginia L. Steiner
Certification Date:	November 24, 1999
Promulgated under:	R.C. Section 111.15
Rule amplifies:	R.C. 121.211; R.C. 149.011; R.C. 149.33; R.C. 149.35; R.C. 149.351; R.C. 3361.03

Other University rules related to records include

- 10-43-11: Records: Rights of privacy, general policy and procedure statement. (<http://www.uc.edu/trustees/rules/RuleDetail.asp?ID=96>)
- 10-43-13: Records: Corrections. (<http://www.uc.edu/trustees/rules/RuleDetail.asp?ID=95>)
- 10-43-18: Records: Responsibilities and rights concerning ownership, access to and maintenance of original scientific records. (<http://www.uc.edu/trustees/rules/RuleDetail.asp?ID=279>)

University of Cincinnati Records Management

- 30-27-01: Personnel Records: Custodian of records.
(<http://www.uc.edu/trustees/rules/RuleDetail.asp?ID=143>)
- 30-27-02: Personnel Records: Policy on maintenance of and access to personnel records. (<http://www.uc.edu/trustees/rules/RuleDetail.asp?ID=144>)
- 40-25-13: Health services: Medical records at university health services.
(<http://www.uc.edu/trustees/rules/RuleDetail.asp?ID=195>)

Your Work Responsibility

University Mission

The University of Cincinnati is a public comprehensive system of learning and research. The excellent faculty have distinguished themselves world wide for their creative pedagogy and research especially in problem solving and the application of their discoveries. The University system is designed to serve a diverse student body with a broad range of interests and goals. It is a place of opportunity. In support of this mission, the University of Cincinnati strives to provide the highest quality learning environment, world renowned scholarship, innovation and community service, and to serve as a place where freedom of intellectual interchange flourishes.

Preserve your place in the history of the University of Cincinnati through your records management practices. These practices provide documentation of University programs and activities for future historical research. We can ensure that all records are efficiently managed so that University, administrative, historical, and legal interests are served.

Also, there are significant legal liabilities and costs that are associated with poor or inadequate records management practices.

Records Definitions

"Records" includes any document, device, or item, regardless of physical form or characteristic, 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. (Ohio Revised Code §149.011 (G))

"Public record" means records kept by any public office, office, including, but not limited to, state, county, city, village, township, and school district units, and records pertaining to the delivery of educational services by an alternative school in Ohio kept by a nonprofit or for profit entity operating such alternative school pursuant to section 3313.533 [3313.53.3] of the Revised Code. "Public record" does not mean any of the following: medical records, probation and parole proceedings, intellectual property records, peace officer residential and familial information, the identity of a suspect who has not been charged with the offense, trial preparation records, and donor profile records. Other exceptions can be found in ORC §149.43 (A))

Policies & Procedures

Records Inventory

What is a Records Inventory?

Prior to the development of a records retention schedule, designated departmental staff will create a brief inventory of all types of files created and/or maintained by their office. An inventory is not as time consuming as it may sound. It is not necessary to inventory each piece of paper held in an office, rather records are grouped into series, or categories of similar records.

Steps to Complete the Records Inventory

- Set aside some time to thoroughly review the records that are created, used and stored in your office, both active and inactive. Generally the inventory takes no more than one half hour to complete.
- Complete either the Simplified Records Inventory Form for your entire collection, or one Standard Inventory Form for each records series. Both forms can be found in the Appendix or on the RM website.
- Send the completed forms to the University Records Manager via campus mail (ML 0113) or via fax (6-2113)

Completing the Records Inventory Forms

Simplified Version

- Complete the header information including general information about the office and inventory
- For each group in which the office has records provide a brief description of the documents
- Add any records held in the office that don't fit into a pre-defined group in the spaces provided at the end of the form

Standard Version

- **Header:** Complete the header information including general information about the office and inventory
- **Record Series Title and Description:** Identify each individual record series, one per form. If you have questions about how to identify your files, a brief look at the IUC Retention Schedule Guide (see Appendix) may help. If you still require

assistance with this part of the process, please contact the University Records Manager.

- **Inclusive Dates:** Determine the span dates for each series
- **Volume & Annual Accumulation:** How many cubic feet of records do you have and at what rate are they created annually? Approximate the volume using the following guidelines:
 - 1 letter-size file drawer = 2.5 cubic feet
 - 1 legal-size file drawer = 3.0 cubic feet
 - 1 transfile (letter/legal) = 2.5 cubic feet
 - 1 record carton = 1.25 cubic feet
- **Media Format:** Check all formats in which the records exist and indicate any other format not listed.

Please send all forms at the same time.

Records Retention Schedules

Records retention schedules are the guide to the records of an office. For each record series, they provide a description of the series and indicate the length of time it must be maintained as well as its ultimate disposition. Retention periods take into consideration University, State and Federal requirements as well as those of professional bodies such as accrediting and licensing agencies. They are prepared by the University Records Manager using *Records Retention for Public Colleges and Universities in Ohio: A Manual* and in consultation with Departmental records personnel, the Designated Records Officer for the administrative area, and other University personnel where appropriate.

Records schedules currently in effect in many University offices may appear on a variety of State forms, as they were revised on several occasions. Regardless of which form on which they appear, they are in effect if properly signed. In the course of reviewing records in University offices, the schedules will be converted to new forms, but it is not necessary to undertake conversion prior to a review.

Reading the Schedules

Elements of the schedules include:

Cover Sheet

- **Heading:** indicating the specific area of the University to which the schedule applies
- **Signatures of Approval** from appropriate staff
- **Inclusive Schedule Numbers:** The ranges of unique schedule numbers.
- **Number of Pages:** how many pages in the schedules themselves

Schedules

- **Schedule Number:** A three-part unique number is given to each record series. The first part is the year the schedule was created; the second part is the office number, and the third part is the record series number.
- **Title of Record Series**
- **Description of Record Series**
- **IUC Retention Group**
- **Retention Explanation**
- **Minimum Retention:** The minimum amount of time that records within the series must be retained in the office of record
- **Disposition:** The ultimate fate of the records

Minimum retention period explanations:

- **X years:** X being the number of years the record must be retained following its creation.
- **ACT:** while the record is active, or is still in use in the office
- **ACT+X:** while the record is active plus X, which is specific number of years
- **IND:** indefinite. The these records must be retained indefinitely in the office of record
- **SUP:** until superseded. Usually for reference material or short-term items that are updated often.

Disposition explanations:

- **Archives:** records should be sent to the University Archives. See procedures later in this manual
- **Shred:** records should be destroyed, specifically by shredding
- **Destroy:** records should be destroyed. This can be by shredding or incineration.
- **Discard:** records should be discarded, but destruction is not necessary

Sample Records Retention Schedule

See a sample records retention schedule in the appendix.

Timeline for Completion/Revision of Records Retention Schedules

Day	New Schedules	Revised Schedules
1	The University Records Manager (URM) will send a letter of contact to the office head notifying them that schedules need to be created.	The University Records Manager will forward current schedules to the Designated Records Officer with any suggested changes or additions.
30	The head responds noting the Designated Records Officer (DRO)	The DRO responds with approval of suggested changes and any further revisions.
40	URM contacts the DRO with	

	information about scheduling and a request for a meeting.	
70	Inventories are returned to URM	URM revises schedules and returns to DRO
90	URM completes draft schedules and sends to DRO	
100	DRO returns signed approval form OR requests additional drafts	DRO returns signed approval form OR requests additional drafts

Upon approval of new schedules, an anniversary date shall be established for the department. On this anniversary date in subsequent years, the URMP shall request an annual review of the Records Retention Schedule.

Please Note: The Office of Internal Audit and Management Services and the Office of General Counsel shall be notified if any department/office is non-compliant or overdue by more than ten days. Please contact Records Management if you have any questions or concerns.

Records Disposal

Using the approved Records Retention Schedule for your department or office, identify those records that are to be eliminated from your files and will be transferred to the University Archives or destroyed. Complete a Certificate of Records Disposal each time records are disposed.

No records may be disposed by any means without an approved Records Retention Schedule.

No records may be disposed when there is an order or notice for legal discovery or subpoena, regardless of the retention assigned to the item. Records subject to discovery must be maintained in the office of record until released by the court.

The Ohio Revised Code addresses the destruction of records:

[§ 149.35.1] § 149.351. Prohibition against destruction or damage of records.

(A) All records are the property of the public office concerned and shall not be removed, destroyed, mutilated, transferred, or otherwise damaged or disposed of, in whole or in part, except as provided by law or under the rules adopted by the records commissions provided for under sections 149.38 to 149.42 of the Revised Code or under the records programs established by the boards of trustees of state-supported institutions of higher education under section 149.33 of the Revised Code. Such records shall be delivered by outgoing officials and employees to their successors and shall not be otherwise removed, transferred, or destroyed unlawfully.

Transfer of Records to the University Archives

1. Keeping the material in file order, place it in record cartons that may be obtained through the Archives. Do not box materials in transfiles-boxes designed to hold the contents of an entire file drawer.
2. Number the boxes in order.
3. Complete the Certificate of Disposal and fax to Records Management or send with the collection.
4. Telephone the Archives and indicate the type of materials for transfer and the number of boxes.
5. Contact Facilities Management to arrange the transfer of the materials to the University Archives. Please telephone the Archives when the transfer is scheduled.
6. Upon receipt, the Archives staff will assign an accession number to each group of materials. This number will consist of three parts: the initials of the University Archives (UA), the year of accession, and the number of the accession as it is received in consecutive order for that year. For example, the 18th accession received in 1992 will have an accession number UA-92-18. The Archives will inventory the collection and the originating office will receive notification of receipt of the material in the form of a copy of the inventory with accession number.

Destruction of Records

Records scheduled for destruction should be shredded. The Archives will not physically dispose of records, but will assist in identifying shredding equipment or outside sources to be used.

Certificates of Records Disposal

Certificate of Records Disposal are completed for records which schedules indicate are to be destroyed or transferred to the University Archives. They are completed at the time of destruction or transfer by departmental records personnel. Certificates are completed each time records are disposed.

The Certificate is important in that it is evidence that records were disposed of according to our approved policies. In the case of discovery if records are requested but not available the certificate is proof that the destruction was legal.

The Designated Records Officer will send the completed Certificate of Disposal to the Records Management Office (via campus mail: M.L. 0113; fax 6-2113; or email: Janice.Schulz@uc.edu) and retain a copy for their office files.

Anniversary and Program Maintenance

Once a Records Retention Schedule is established for your department or office, an Anniversary Date will be designated. Every year on your Anniversary, the University Records Manager will send you a reminder to review your schedule. Any updates, additions, or deletions to the schedule will be made at that time.

If you have a question or concern, please do not wait until your Anniversary, call the University Archives at your earliest convenience (6-1959).

Retrieval of Archived Materials

To retrieve information previously transferred to the University Archives, please call (6-1959), email (Janice.Schulz@uc.edu), or fax (6-2113) your request. Please have your inventory handy. A representative of the University Archives will need to know the accession number, the box number, and the folder titles. The requested materials will be pulled and available for viewing in the University Archives (8th floor of Blegen Library) between 8AM and 5PM, Monday through Friday. Or, with a signed receipt, you may pick-up the materials for use in your office.

About the Department

The University Records Management program is a function of the Archives & Rare Books Library, located on the eighth floor of Blegen Library. It was created in 1979 when the Board of Trustees charged the Archives with developing and administering policies and procedures for managing the University's records. The program is directed by the University Records Manager with approval and guidance by the University Archivist.

Consulting

Records Management staff is available to consult with you on a number of topics including active and inactive records systems, storage and destruction vendors, alternative record formats and vital records programs. You can find information about some of these in the General Information section of this manual as well.

Workshops/Open House

Introduction to Records Management Workshop

Introduction to Records Management will explain:

- The Goals of the University Records Management Program
- How to complete Records Management Forms
- How to dispose of records (transfer or destruction)
- How to retrieve records
- State and Federal legal requirements

All records officers and records custodians, as well as anyone responsible for managing University records, are encouraged to attend. Workshops are scheduled twice a year in the fall and spring.

Workshops on additional records management topics will be offered throughout the year. Custom workshops can be developed for your office. Please contact the University Records Manager to discuss your educational needs.

LIB-RECMGMT Listserv

Sign up for the LIB-RECMGMT listserv to get updates and important information. To sign up, send an email message to Janice.Schulz@uc.edu and include your name and email address.

Contact Information

University of Cincinnati Records Management

Janice Schulz, University Records Manager

Office: 804 Blegen Library

ML: 113

Phone: (513) 556-1958

Fax: (513) 556-2113

Email: Janice.Schulz@uc.edu

Website: http://www.libraries.uc.edu/libraries/arb/records_management/index.html

Archives & Rare Books Library

8th Floor Blegen Library

Phone: (513) 556-1959

Fax: (513) 556-2113

Email: archives@ucmail.uc.edu

Website: <http://www.libraries.uc.edu/libraries/arb/index.html>

General Records Information

Inactive Record Storage

It is sometimes desirable to move inactive records not yet due for disposition from office to storage. The University does not have a centralized records center, although certain administrative areas do have space allocations, and others utilize commercial record storage facilities. The University Archives does not serve as a storage facility for inactive records.

The records storage area should be accessible, dry, moderate in temperature, and free from pests.

Records to be placed in storage should be placed in order, folder by folder, in records cartons or transfiles. The boxes should be numbered in order and the contents of each box and the scheduled date of disposition should be clearly indicated on the outside.

"Charge out" cards should be used to indicate each time a folder is pulled for office use. These should record what has been pulled, by whom, and when, and should be inserted into the storage box in place of the pulled item(s) until the material is returned.

Microfilming & Digital Imaging

Before contemplating microfilming or digital imaging, records must be inventoried and the specific series identified in order that the department knows precisely what materials are on hand. The records must also be scheduled in order to determine how long they must be maintained and what will be their eventual disposition.

To analyze records for possible imaging applications:

- Examine each record series or file, paying close attention to frequency of use, physical characteristics such as color or type of paper, or preservation needs.
- Consider the current costs of storing and retrieving these records.
- Estimate costs for imaging. Include costs associated with preparing and weeding records, operator, processing, and inspection (and of retaking images where necessary); and if required, the purchase of equipment, office readers and reader-printers.
- Compare costs and benefits of storage and imaging bearing in mind the questions: Can it be imaged? Should it be imaged? Are the costs justified?

Microfilming

Microfilming offers several advantages as a medium for record storage: space savings, archival stability, legal acceptance, high image quality potential, vital record protection, and duplication for security storage off-site. Microfilm is a convenient storage medium for bulky records which require little weeding and which must be kept for extended periods, or for vital records which must be retained securely or indefinitely. However, microfilming is expensive, particularly in terms of document preparation. It is often less expensive to utilize low-cost storage.

If the decision is to microfilm, an archival copy using silver gelatin film should be made and stored in an alternate location for security. Working copies should be made of diazo or vesicular film which, with proper care, should provide up to 100 years of useful life.

Electronic Records Management

University machine-readable records, that is, records which are created and maintained in electronic form for administrative purposes, are subject to the same requirements for records management as are paper and microform records. They are inventoried, scheduled and disposed under the same procedures.

Media Migration

Electronic media changes and advances at an astounding rate. In addition to the media itself, it is difficult to obtain the hardware needed to read the media. Gone are the days of punch cards, 8" and 5 ¼" floppy disks and 3 ½" disks are on the way out, with few new machines being manufactured with the drives to read them. To insure that your data stored on electronic media can be accessed in the future you need to establish a plan to migrate the data.

Care and Preservation

Compact Discs

- Always store discs upright in their plastic cases or paper folders when not in use.
- Use a non-solvent-based felt-tip permanent marker to mark the label side of the disc.
- Return discs to storage immediately after use.
- Only handle discs by the edges or the center hole and use clean hands when handling discs. Never touch the surface of a disc.
- Store discs in a cool, dark environment.
- Only clean discs when it is absolutely necessary, when surface dirt is visible and/or readability or playability is impaired.

If discs do require cleaning, use the following methods:

University of Cincinnati Records Management

- For surface dust or dirt blow lightly on the disc.
- Lightly rub the surface with a soft cloth. Never use paper or any abrasive material.
- For stubborn dirt use commercial CD/DVD cleaners or isopropyl alcohol along with a soft cloth.
- When wiping discs, always wipe from the center to the outside edge.

Floppy Disks (5 1/2" and 3 1/4")

- The disk and its environment must be free from sticky fingers, food, dust, and other contaminants that can destroy data on the disks.
- Exposed areas of the disk should never be touched. Handle the disk only by the edges. (3 1/4" floppy disks have only a small exposed area.)
- 5 1/2" disk drives and the read/write heads must be regularly cleaned.
- Disks should not be folded or be secured by paper clips or rubber bands. Any writing on the label should be done before it is attached to the disk, or by lightly using a felt-tipped pen. Do not erase a label already affixed or attach a new label on top of a previous one. Remove the existing label and replace it. After use, return the disk to its sleeve. Note: Do not put labels over the metal surface on the disk, this surface must move.
- Floppy disks are to be stored in a rigid container in a vertical position with no pressure on the disks. They should be stored at a temperature between 50 and 125 degrees Fahrenheit with a relative humidity range of 8% and 80%.
- Sources of magnetic fields should be kept away from disks. Disks should not be placed on top of the computer Central Processing Unit (CPU).
- Use proper "write protect" tabs to prevent accidental erasing or overwriting of data on disks.
- Data on floppy disks should be copied onto new disks every 2 years, and the old disks erased, to ensure integrity of data.

Magnetic Tape (Based on Geller, Sydney B. *Care and Handling of Computer Magnetic Storage Media*. National Bureau of Standards Special Publication 500-101. Washington, D.C. June 1983.)

- Magnetic tape storage areas require a controlled environment free from dust, smoke, and high intensity magnetic fields.
- Fluctuations in temperature and humidity are to be minimized. Temperature should range between 62 and 68 degrees Fahrenheit; the relative humidity should be 40%.

- Magnetic tape should be stored in an upright position on a metal rack in plastic containers which support the reel at the hub. There should be external identification labels.
- Stored tapes should be cleaned and rewound under constant tension ever 1-2 years. Tapes should be examined once a year for physical deterioration such as broken reels.
- A sample of stored tapes needs to be tested for "read errors" (to see if data can still be used) once every 1-2 years. If errors are found, additional tapes should be examined.
- Data should be transferred to new tapes every 10 to 20 years, depending on storage conditions, maintenance practices, and the results of sample testing.
- Security, or backup, copies of machine-readable record must be maintained for the duration of the scheduled retention period. Backups may be electronic format, microform, or hard copy. The security copies are stored in another location.

Admissibility of Archived Computer Records

In the State of Ohio, computer records may be audited and may be admitted as evidence in a court of law much the same as with paper and microform media.

In order for electronic records to be legally acceptable, it must be possible to verify that:

1. Records retention schedules and local policies concerning access, security backups, and data entry have been followed.
2. The information stored electro-magnetically is: Recorded in the normal course of business; Recorded within a reasonable time after the event or transaction and includes an audit trail showing which data have been altered, when, and by whom; and Audited to establish the trustworthiness of the information.
3. The computer media archived is both prepared properly prior to recording data (e.g., formatting) and that it is properly maintained in storage.

Labeling Computer Files

Files which cannot be identified because of poor external and internal labeling are useless.

Systems vary in the options provided for labeling tapes, diskettes and other forms of magnetic media, but it is important to use every means available. In addition to labeling the outside of a diskette or tape, enter the date and if necessary, the time when a file was used. On the office automation or other mainframe system, enter password and terminal designation.

Make file names as recognizable as possible. On microcomputers, the optional extension characters may be used for file names to indicate the creator's initials or as mnemonics for the type of document, for example COR (correspondence), MEM (memoranda), BUD (budget). Store different record series on separate disks. If machine-readable files contain confidential materials, coded filenames discourage unauthorized access. Note: Not applicable after Windows 95 as extensions have meaning.

A written Departmental or office policy dealing with labeling computer files, as well as security and access considerations makes it easier to work with these records in the future, as well as to audit, if necessary, admit them in a court of law.

Email Management

Electronic communications systems in use at the University include, but are not limited to, office automation, E-mail, and Internet facilities maintained by the C.I.T.S., and local area networks maintained within colleges and other administrative units of the University.

Electronic mail created and received by employees of the University of Cincinnati during the course of business can be an official University record, and as such falls under the purview of the University Records Management Program. Additionally, the University's computing resources are limited physically and financially in the amount of online storage which can be provided to users with electronic mail accounts. For both of these reasons, the following guidelines are important in ensuring effective, efficient and legal retention and disposition of electronic mail.

1. Retain delivery and read receipts only if legally required. Generally these should be deleted and purged once they have been read.
2. Delete and purge all junk mail once read. If there is anything a user feels will be of later use, it should be printed and filed as hard copy.
3. Delete and purge C.I.T.S. systems notifications once they have been read.
4. Print and file routine correspondence and inter-office memoranda and retain until no longer administratively useful. Purge and delete electronic copies.
5. Print out and file executive correspondence, that of administrators with the rank of Department Head and above and Faculty. Such correspondence documents administrative decision-making, committee, faculty, and campus activities and is retained in hard copy for 3 years or until no longer administratively useful, and then transferred to the University Archives. Electronic copies should be deleted and purged daily or weekly, depending upon the volume of use.

6. Faculty correspondence, research data, and external scholarly communications (for example through the Internet) which are not of an administrative nature may still have significant archival value. These are printed out and filed with the Faculty member's papers. Electronic copies should be deleted and purged daily or weekly depending upon the volume of use.

Appendix

Sample Records Retention Schedule

**University of Cincinnati
University Records Management Program**

Schedule for Records Retention and Disposition

Administrative Area: Vice President and Provost for Baccalaureate and Graduate Affairs

Division: University College

Department/Unit: Academic Affairs

Office:

Approval:

University Archivist Date

Records Officer Date

Inclusive Schedule Numbers: 99-18B-01 – 99-18B-10

Number of Pages: 1

University College – Academic Affairs

Schedule Number	Records Series	Series Description	IUC Retention Group	Retention Explanation	Minimum Retention	Disposition
99-18B-01	Accreditation Files	Materials relating to accreditation and site visits for accredited programs. Record Copy of final Accreditation Report held by Provost's Office.	ADM3020	Administration: Policies/Procedures - Compliance	ACT+10	Archives
99-18B-02	Admission Liaison Committee Files	University College files of All-University Admission Liaison Committee chaired by Provost, relating to admission policies, including scholarships and honors.	ADM9910	Administration: Subject Files	5 years	Archives
99-18B-03	Advanced Standing Files	Materials relating to the awarding of advanced standing, including documentation of student performance and rules and regulations. Copies of decisions are also inserted into Student Files.	EDU1010	Education: Student Records - Non-Permanent Records	ACT+1	Shred
99-18B-04	Articulation Committee	Documentation of University Articulation Committee relating to the establishment of University policy on articulation deficiencies, including requirements, course lists, and associated correspondence. Committee is chaired by Senior Vice Provost.	ADM9910	Administration: Subject Files	5 years	Archives
99-18B-05	Athletic Eligibility Files	Alpha by name of students with and NCAA grade point average eligibility to participate in athletics.	EDU1010	Education: Student Records - Non-Permanent Records	ACT+1	Shred
99-18B-06	Curriculum Committee	Chron. of pending and actions taken of ex officio convener of University College Curriculum Committee, including all BULLETIN and other materials relating to curriculum changes.	ADM9910	Administration: Subject Files	5 years	Archives
99-18B-07	Faculty	Files of Faculty Grievance Committee relating	LEG4000	Legal:	ACT+6	Shred

University of Cincinnati Records Management

Schedule Number	Records Series	Series Description	IUC Retention Group	Retention Explanation	Minimum Retention	Disposition
	Grievance Files	to disciplinary proceedings taken by faculty against students, including tapes of hearings.		Claims/Litigation		
99-18B-08	Marketing Files	Advertising and other promotional materials for University College.	MAR1000	Marketing/Sales: Advertising/Sales Opportunities	5 years	Archives
99-18B-09	Ohio Board of Regents Files	Correspondence and associated materials information Ohio Board of Regents of a new or changed program.	ADM9910	Administration: Subject Files	5 years	Archives
99-18B-10	Reorganization Files	Committee materials relating to reorganizing the structure of University College.	ADM9910	Administration: Subject Files	5 years	Archives

Administrative Area	Division
Department	Office
Records Officer	Phone
Inventory Completed By	Inventory Date

**For the Description Field - Include any unique information about the records, such as originating office, format (electronic or paper), volume, inclusive dates, how the record is used – i.e. as reference only for a specific amount of time, working papers to compile reports, etc.*

Accounting/Financial	Description
Audit Records	
Bookstore Requisitions	
Central Stores Orders	
Departmental Budget Ledgers	
Invoices	
Purchase Orders	
Small Order Forms	
Sundries	
Telephone Records	
Travel Authorizations/Expense Reports	

University of Cincinnati Records Management

Administrative Records	Description
Accreditation Files	
Committees	
Correspondence (Executive, General, Email)	
Reports	
Subject Files	

Legal	Description
Compliance	
Contracts and Agreements	
Grants	
Grievances	
Licensing	

Personnel – Staff, Student, and Faculty	Description
PAFs	
Payroll	
Resumes/Search Files/Applications	
Evaluations, RPT	

University of Cincinnati Records Management

Publications	Description
Non-UC and UC produced	
Newsletters	
Equipment Manuals	
Photographs	
Web Page	

Student Records	Description
Class Lists	
Grades	
Transcripts	
Grade Change Forms	
Student Loans/Scholarships/Financial Aid Awards	

The above are suggested Records Series Titles. Your area may have additional titles that do not appear on the above listing. Please add additional listings in the spaces provided below and/or on a separate page.

Record Series Title	Description of Records

Administrative Area	Division
Department	Office
Records Officer	Phone
Inventory Completed By	Inventory Date

Records Series Title:

Description of Series:

Inclusive Dates	Are records still created? <input type="checkbox"/> Yes <input type="checkbox"/> No	Volume	Annual Accumulation
Filing Method/Arrangement	Storage Method	Purpose of Record	
Media Format(s) – list all that apply and specify sizes <input type="checkbox"/> Paper <input type="checkbox"/> Electronic <input type="checkbox"/> Microform <input type="checkbox"/> Other:			
Audited? <input type="checkbox"/> Yes <input type="checkbox"/> No	Confidential? <input type="checkbox"/> Yes <input type="checkbox"/> No	Vital? <input type="checkbox"/> Yes <input type="checkbox"/> No	
By:			

For Records Management Use

Retention Period and Justification	Comments
Archival material? <input type="checkbox"/> Yes <input type="checkbox"/> No	IUC Group

Administrative Area

Division:

Department/Unit:

Office:

Records Officer:

Record Series Title	Schedule No.	Retention Group	Inclusive Dates	Quantity (Cu. Ft.)	Date of Disposal	Method of Disposition

Reviewed by

Date

Inter-University Council Retention Guide

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
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.	ACC000	4	3	4	
ACC1010	Accounting Journals / Ledgers Records used to transfer charges between accounts and for summarizing account information. Final, annual records only.	ACC010	6	6	6	
ACC2000	Accounting Capital Property Includes purchase and sales of property and equipment, depreciation, improvements, etc. Includes financial obligations associated with capital expenditures, purchase of land, buildings, equipment, furnishings, motor vehicles; material transfers, work orders, additions or improvements to building or equipment, property reporting.	ACC100	ACT+6	ACT	ACT+6	
ACC3000	Accounting Accounting Management Information Records and reports related to managing and determining accuracy of accounting information. See ACC1000 for the journals and ledgers and FIN7000 for financial statements.	NONE	0	4	4	
ADM1020	Administration Planning / Forecasting Records related to planning and forecasting for internal purposes. Includes annual plans, five- and ten-year strategic plans and forecasts, facility requirements, growth forecasts.	NONE	0	ACT+1	ACT+1	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
ADM2020	Administration Property Management Maintenance / Repair Records related to the maintenance and repair of property.	CON000	ACT+5	ACT+6	ACT+6	
ADM2030	Administration Property Management Construction / Modifications Records related to design, construction and layout of buildings and facilities.	CON000	ACT+5	ACT+6	ACT+6	
ADM3000	Administration Policies / Procedures Records documenting institution approved methods or processes for performing activities to ensure uniformity and compliance with institution and legal requirements. Includes institutional policy and procedure manuals.	POL000	ACT+10	ACT	ACT+10	
ADM3010	Administration Policies / Procedures Audits, Internal Records demonstrating compliance with internal policies and procedures. Includes audit reports, remedial activities, and workpapers. See ADM3000 for actual policy or procedure.	NONE	0	4	4	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
ADM3020	Administration Policies / Procedures Compliance Records related to compliance with policies and procedures. Includes records destruction certificates. See ADM3000 for actual policy or procedure.	POL100	10	3	10	
ADM3030	Administration Policies / Procedures Safety / Emergencies Records related to spill prevention, employee safety, and other related procedures regulated by government agencies.	POL200	ACT+10	ACT	ACT+10	
ADM4000	Administration Safety / Security Records related to protection of employees, equipment, buildings and Information. Includes security clearances, pass card lists, password lists. Also includes safety of employees and equipment.	NONE	0	3	3	
ADM9900	Administration General Records related to administration activities not previously covered. Includes routine administration.	NONE	0	1	1	
ADM9910	Administration Subject Files Includes correspondence, reports, minutes, memoranda, and informational files of upper level administrative officers and governing bodies.	NONE	0	3	3	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
EDU1000	<p>Education Student Records Permanent Records</p> <p>Includes official academic records (including grades, course evaluations, competency assessments, etc.), change of grade forms, credit by examination forms, faculty grade reports, transcript requests (other than student requested).</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	EDU100	ACT+6	IND	IND	
EDU1010	<p>Education Student Records Non-Permanent</p> <p>Records of students who matriculated, whether or not they earned a degree. Includes applications for admission / readmission, letters of recommendation, entrance examinations and placement test reports, advanced placement records, transcripts, medical records, academic action notifications, applications for graduation, documents regarding progress toward degree, transfer credit evaluations. Also includes student placement and continuing education.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	NONE	0	ACT+1	ACT+1	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
EDU1030	<p>Education Student Records Family Educational Rights and Privacy Act Documents / Privacy Documentation</p> <p>Records related to Educational Rights and Privacy Act including requests for formal hearings, requests and disclosures of personally identifiable information, student statements on content of records regarding hearing panel decisions, students' written consent for records disclosure, waivers of rights of access, written decisions of hearing panels, etc.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	EDU110	ACT+3	ACT+1	ACT+3	
EDU1100	<p>Education Data / Documents for Applicants Who Do Not Matriculate</p> <p>Records related to applicants who do not matriculate, whether denied admission or accepted and do not enter. Includes applications for admissions / readmissions, acceptance letters and other correspondence, letters of recommendation, entrance examinations and placement test reports, advanced placement records, transcripts, medical records.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	NONE	0	1	1	
EDU2000	<p>Education Student Loans</p> <p>Records related to student loans including application, approvals, disbursements, repayment, etc.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p>	EDU120	ACT+6	ACT+6	ACT+6	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
EDU2100	<p>Education Student Loans U.S. Department of Education</p> <p>Records related to student loans from the U.S. Department of Education including application, approvals, disbursements, repayment, etc.</p> <p>Note: Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</p> <p>See EDU2000 for all other student loans.</p>	EDU121	ACT+3	ACT+3	ACT+3	
EDU3000	<p>Education Publications, Statistical Data / Documents, Institutional Reports</p> <p>Includes catalogs, commencement programs, degree statistics, enrollment statistics, grade statistics, graduation lists, Integrated Post Secondary Education Data System reports, Ohio Board of Regents reports, racial / ethnic statistics, schedule of classes (institutional), tuition and fee schedules.</p> <p>See EDU3010 for short-term reference records related to educational programs.</p>	EDU300	ACT+6	IND	IND	
ENV1000	<p>Environment Testing</p> <p>Records related to the testing, monitoring and analysis of the environment.</p>	ENV200	5	3	5	

**Inter-University Council of Ohio
Records Retention Matrix**

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
ENV2000	Environment Hazardous Substances Records related to the use, manufacture, and testing of hazardous substances. See ENV2010 for transportation of hazardous substances.	ENV100	IND	IND	IND	
ENV2010	Environment Hazardous Substances Transportation Records related to the transportation of hazardous substances. Includes shipping manifests for hazardous substances.	ENV110	IND	IND	IND	
ENV3000	Environment Water / Air Pollution Records related to discharge of pollution into water and air.	ENV200	5	3	5	
ENV9900	Environment General Records related to environment not covered elsewhere.	NONE	0	3	3	
FIN1000	Finance Banking Records related to banking activities. Includes deposits, checks, statements, reconciliations, drafts, canceled checks, automatic deposit plans, check registers, cash management.	ACC000	4	3	4	
FIN2000	Finance Budgets / Financial Forecasts Records related to internal planning and financial management.	NONE	0	ACT+1	ACT+1	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
FIN3000	Finance Investments Records related to passive investments in stocks, bonds, mutual funds, etc. to track and manage investments including endowment funds. See ACC2000 for accounting for investments.	ACC100	ACT+6	ACT+3	ACT+6	
FIN5000	Finance Loans / Credits Records related to the applications, issuance, management and administration of loans to the institution. Includes correspondence with lenders, reports to lenders, debt information, work papers, writeoffs, write downs, losses.	ACC100	ACT+6	ACT+3	ACT+6	
FIN6000	Finance Bad Debts / Collections Records related to the monitoring, collecting and writing off of bad debts. Includes authorizations, supporting details of uncollectible accounts.	NONE	0	4	4	
FIN7000	Finance Financial Statements Financial statements, reports, and background information submitted to government agencies/	ACC000	4	4	4	
FIN7010	Finance Financial Statements Audits, External Records of external audits related to determining the accuracy of final financial statements.	ACC000	4	4	4	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
FIN8000	Finance Purchasing Records related to request for bids, bid review, receiving, inspection of merchandise, proof of receipt, etc. See ACC1000 for accounting for actual purchases. See LEG2000 for purchasing contracts.	NONE	0	3	3	
FIN8010	Finance Purchasing Purchase Orders Records related to actual purchases or commitments to purchase.	CON000	ACT+5	ACT	ACT+5	
FIN8020	Finance Purchasing Receipt / Shipment Documentation Records related to shipment or receipt of purchases.	NONE	0	3	3	
LEG2000	Legal Contracts / Agreements Records related to obligations under contracts, leases, and other agreements between institution and outside parties. Includes contracts for services, purchases and sales, transportation, leases, property and construction, exchange of property, etc. Includes government contracts and grants and records required to be kept until government audit. See LEG2010 for other records related to contract compliance.	CON000	ACT+5	ACT+1	ACT+5	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
LEG2010	Legal Contracts / Agreements Contract Performance Records related to compliance or performance of contracts. Includes determination of costs, performance of services, payments, work products delivered, etc. Includes government contracts. See LEG2000 for actual contracts and agreements, including government grant materials that must be kept until the end of the contract and the completion of government audit.	CON010	5	3	5	
LEG3000	Legal Insurance Records related to coverage affecting liability. Includes policies, amendments, riders, proof of payment, etc. See PER1010 for employee medical and life insurance.	CON000	ACT+5	ACT+1	ACT+5	
LEG3010	Legal Insurance Future Liability Records related to insurance coverage for product liability, exposure to hazardous substances, or other problems manifesting themselves long after the policy terminates. Includes liability policies.	CON200	IND	IND	IND	
LEG4000	Legal Claims / Litigation Records related to threatened or actual litigation or government investigation. Includes pleadings, discovery, attorney work-products, legal opinions, transcripts, exhibits, final judgments, and investigative reports.	LIT000	ACT+6	ACT+1	ACT+6	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
LEG5000	Legal Compliance Records related to the preparation of documents required by law. Includes reporting and filings with agencies such as IRS, DOT, OSHA, EPA, EEOC. See LEG5010 for tax returns.	LEG000	6	6	6	
LEG5010	Legal Compliance Tax Returns Tax returns filed for tax-exempt confirmation for sales, income, and other taxes. See ACC1000 for detailed accounting records.	LEG000	6	10	10	
LEG5020	Legal Compliance License / Permits Records including licenses required to conduct activities, collect taxes, etc.	LEG100	ACT+3	ACT	ACT+3	
LEG5030	Legal Compliance Orders - Agency / Court Records related to unique orders issued to institution.	LEG100	ACT+3	ACT+3	ACT+3	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
LEG6010	Legal Legal Projects Legal Opinions Records resulting from legal projects which document the specific legal advice provided.	POL000	ACT+10	IND	IND	
LEG7000	Legal Copyright / Trademark / Patents Records related to preparation, filing, maintenance, and rights.	LIT000	ACT+6	ACT+1	ACT+6	
LEG9900	Legal General Records related to legal activities not covered elsewhere.	NONE	0	3	3	
MAR1000	Marketing / Sales Advertising / Sales Opportunities Recors related to advertising and claims made to potential students including brochures and recruitment materials. See also PUB3000 for Public Affairs publicity.	ADV000	3	5	5	
MIS1000	Miscellaneous Reports / Copies Miscellaneous reports and other records which need only be reviewed for a short period - day, week, quarter, current year.	NONE	0	1	1	
MIS1010	Miscellaneous Reports / Copies Periodic Replacement Records Records replaced periodically by newer, updated ones.	NONE	0	SUP	SUP	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
MIS2000	Miscellaneous Special Projects Records related to special projects that do not fall into any other category.	NONE	0	ACT+1	ACT+1	
PER1010	Personnel Benefits Benefit Plans Records related to institution sponsored benefit plans. Includes insurance, pension, disability, medical, survivor programs, ESOP, PAYSOP, vesting criteria, vacation entitlements, educational assistance, savings plans, correspondence explaining benefit plans. See LEG5000 for pension reports to government.	EMP110	ACT+6	ACT+1	ACT+6	
PER1020	Personnel Benefits Contributions / Benefits Provided Records related to contribution and participation in institution-sponsored benefit plans. Includes insurance, pension, disability, savings, etc.	EMP100	6	3	6	
PER1030	Personnel Benefits Elections Records of elections by employees for type and amount of participation in institution benefit plans.	EMP110	ACT+6	ACT	ACT+6	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
PER1040	Personnel Benefits Pension Summary Information Records related to cumulative years of service, total pension contributions, accrued benefits, etc.	EMP120	ACT+6	ACT	ACT+6	
PER2000	Personnel Employee Selection Records of general nature related to personnel requests, job applications, testing, advertising, interviews, etc.	EMP900	1	3	3	
PER3000	Personnel Employee Records Summary Records Summary records for individual employees.	EMP120	ACT+6	ACT+3	ACT+6	
PER3010	Personnel Employee Records Personnel Actions Records regarding specific employees. Includes hiring, promotion, performance appaisals, transfers, termination, etc.	EMP300	5	3	5	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
PER4010	Personnel Health / Safety Medical Records - General Medical records related to treatment, examinations, history, etc. related to general medical matters for employees. Excludes other hospital, patient and financial records for university hospitals. University hospitals should follow prevailing federal and state requirements for medical records. See HUM4020 for accident and injury reports. See HUM4030 for hazardous exposure.	EMP700	6	3	6	
PER4011	Personnel Health / Safety Personnel Fitness Records Records related to physical exams and physical fitness for personnel fitness center.	NONE	0	ACT+1	ACT+1	
PER4020	Personnel Health / Safety Accidents / Injuries Records related to on-the-job accidents often used for workers' compensation claims.	EMP700	6	3	6	
PER4030	Personnel Health / Safety Hazardous Exposure Medical records related to exposure or possible exposure to hazardous or toxic substances including testing. See ENV2000 for testing for exposure to hazardous substances.	EMP500	IND	ACT	IND	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
PER5000	Personnel Training / Development Records related to the development and operation of institution training programs and seminars. Includes seminars, education assistance, management and supervision development, job progression, drug and alcohol awareness, course listings, schedules, requests and approvals.	EMP800	ACT+3	ACT	ACT+3	
PER5010	Personnel Training / Development Certification Records related to certification for individuals to perform certain tasks. Includes CPA, bar admissions, CLE, etc.	EMP800	ACT+3	ACT	ACT+3	
PER6000	Personnel Salary Administration Records related to determining and monitoring salary and deduction amounts including timesheets. See ACC1000 for accounting records for payroll and deductions.	EMP300	5	3	5	
PER9900	Personnel General Records related to salary studies and other personnel or human resources activities not covered elsewhere.	NONE	0	3	3	
PUB2000	Public Affairs Government Relations Records related to monitoring government activities and proposed laws.	NONE	0	5	5	

Inter-University Council of Ohio Records Retention Matrix

Retention Code	Subjects / Description	Legal Group Code	Official Retention			Comments
			Legal	User	Total	
PUB3000	Public Affairs Publicity Records related to marketing and promoting institution image and activities such as press releases, publications, photographs.	NONE	0	IND	IND	
PUB4000	Public Affairs Employee Relations Records related to informative communications to employees such as newsletters, letters from administration, etc.	NONE	0	3	3	
PUB6000	Public Affairs Publications Publications produced by institution. Archives/Library maintains one copy of all completed publications for reference purposes.	NONE	0	5	5	
REF0000	Reference Records and non-record material maintained for reference purposes only.	NONE	0	ACT	ACT	