

Cleveland State University

Records Retention Schedule

MAY 2017

UNDERSTANDING THE RECORDS RETENTION SCHEDULE

Definitions of words listed in the DISPOSITION column of the retention schedule

The disposition will either be “destroy” or archive.

Review for continuing historical value and potential transfer to University Archives

Cleveland State University – Records Retention Schedule Page 3

Retention Periods Pertain To Paper and Electronic Formats

Department shown in “* blue” is considered the official keeper of record and required to retain record for entire retention period

Record Series	IUC No.	Retain	Disposition
<u>Accounting Records</u> (Accounts payable invoices, receipts. duplication requests, small order forms, purchase requisitions, petty cash records, travel expense records, telephone expense records, delivery slips, textbook orders, budget transfers)	ACC1000	4 years	Destroy
<u>Accounts Payable</u> (Amounts owed on open account for goods or services received)	ACC1000	4 years	Destroy
<u>Accounts Payable- ledgers</u>	ACC1000	4 years	Destroy
<u>Accounts Payable- vouchers</u>	ACC1000	4 years	Destroy
<u>Accounts Receivable</u> (amounts due from others on open accounts as a result of providing goods or services)	ACC1000	4 years	Destroy
* <u>Campus Support Services Vendor Files</u>	ACC1000	4 years	Destroy
* <u>Capital Planning-Architect's State Encumbrance/Voucher Files</u> (indicated State funds encumbered by contractor/vendor with voucher)	ACC1000	4 years	Destroy
* <u>Capital Planning-Architects Shop Drawings</u> (drawings indicating materials and methods approved by the associate for installation by contractor)	ACC2030	Active + 6 years	Archives

Cash Books

(report of institutional assets, liab Tm 0 TcETQ58.8

Cleveland State University– Records Retention Schedule
Retention Periods Pertain To Paper and Electronic Formats

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Record Series	IUC No.	Retain	Disposition
<u>Classified Staff Report Union Dues Membership List</u> (biweekly listing of university employees paying dues to unions, including pertinent personal data, classification and department)	ACC1000	4 years	Destroy
* <u>Conference Services</u> <u>Accounts Payable</u>	ACC1000	1 year (from date of	Destroy
[REDACTED]			Destroy
organization utilizing university facilities) * <u>Controller’s</u> <u>Return Authorizations</u> (forms for returned goods bought on PO, returned for repair or replacement, etc includes RA#’s and credit memos if applicable)	ACC1000		

Cleveland State University

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Retention Periods Pertain To Paper and Electronic Formats

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Record Series	IUC No.	Retain	Disposition
* IS&T <u>Data Processing Procurement Files</u> (records of procurement of system hardware and software)	ACC2000	Active + 6 years	Destroy
* IS&T <u>Site Equipment Support Files</u> (records of support services provided for specific data processing equipment)	ACC2030	Active + 6 years	Destroy
<u>Invoices</u> (bills			

Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
* <u>Purchasing</u> <u>Continuous Orders</u>	ACC1000	4 years	Destroy
<u>Royalty Payments</u>	ACC1000	4 years	Destroy
<u>Receipts</u>	ACC1000	4 years	Destroy
<u>Registers</u>	ACC1000	4 years	Destroy
<u>Requisitions</u> (forms for ordering goods and services)	ACC1000	4 years	Destroy
* <u>Residence Life</u> <u>Student Dorm Contracts</u> (agreements between students and residence halls governing room and boards and fee payment agreements, includes meal plan authorizations)	ACC1000	4 years	Destroy
* <u>Residence Life</u> <u>Dorm Contracts Release Files</u> (includes application, correspondence, and record of decision reached concerning request to break contracts for room and board)	ACC1000	4 years	Destroy
* <u>Residence Life</u> <u>Front Desk Balancing Form</u> (financial transaction sheet designed for front desk, contains student/staff financial transactions)	ACC3000	4 years	Destroy
<u>Sales Receipts</u>	ACC1000	4 years	Destroy
<u>Student Accounting Records- Insurance</u> <u>Records</u> (records of students enrolled in university health program)	ACC1000	4 years	Destroy
* <u>Stop Payment Forms</u> (includes stop payment forms and print outs of online stop payment activity)	ACC1000	4 years	Destroy

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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
* <u>Planning Assessment & Information Planning Models</u> (records related to planning and forecasting for internal purposes.)	ADM1020	Active + 1 year	Review for continuing value
<u>Planning Documents</u> (includes self-studies and strategic plans)	ADM1020	Active + 1 year	Destroy
<u>Planning/Forecasting</u> (Administrative Records)	ADM1020	Active + 1 years	Review for archive value
<u>Inventory Control Records</u>	ADM2000	Active + 6 years	Destroy
* <u>Facilities Management Building Files</u> (files for each building on campus that contain correspondence pertaining to each particular building, includes complaints, service requests, projects, maintenance	ADM2020	Active + 6 years	Destroy

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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
* <u>Facilities Management</u> <u>Daily Energy Reports</u> (total campus electric and steam, projected monthly electric use and cost compared to budget)	ADM9900	5 years	Destroy
* <u>Facilities Management</u> <u>Sewer Charge Exemption</u> (quarterly reports to NEORS D reporting meter readings for buildings receiving sewer charge exemption)	ADM9900	Active + 1 year after audit	Destroy
* <u>Facilities Management</u> <u>Steam Consumption</u> (Monthly sheets listing steam consumption along with weather date for purpose of issuing a daily energy report)	ADM9900	7 years	Destroy
* <u>Facilities Management</u> <u>Utility Records/Readings</u>	ADM9900	7 years	Destroy
* <u>Facilities Management</u> <u>Weather Forecasts</u>	ADM9900	2 years	Destroy
* <u>IS&T</u> <u>Information Systems</u> <u>Maintenance Contract Files</u> (records documenting support services provided to specific data processing equipment or installations)	ADM2020	Active + 6 years (inactive when equipment no longer owned)	Destroy
* <u>IS&T</u> <u>Data Processing Policies</u> (records of data processing policies including those covering access and security, systems development, data retention and disposition and data ownership)	ADM3000	Retain 3 years after policy is withdrawn, revised, updated or superseded	Destroy

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Record series	IUC No.	Retain	Disposition
<p>*IS&T <u>Data Processing Operating Procedures</u> (records of procedures for data entry, the operation of computer equipment, protection control, tape library, system back up, and other aspects of a data processing operation)</p>	ADM9910	3 years after procedure is updated, revised withdrawn or superseded	Destroy
<p>*IS&T <u>Data Systems Specifications</u> (user and operational documentation describing how application systems operates from a data processing or functional user point of view)</p>	ADM9910	3 years after migration or discontinuance of system	Review for historical value
<p>*IS&T <u>Technical Program Documentation</u> (program code, maintenance logs flowcharts, system change notices, original design documents, acceptance tests and other)</p>			

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Record series	IUC No.	Retain	Disposition
<p>*IS&T Information Systems <u>Network Usage Reports</u> (summary reports and other records created to document computer usage for reporting or other purposes)</p>	ADM9920	Active + 3 years	Destroy
<p>*IS&T Information Systems <u>Operating Procedures & Hardware Conversion Plans</u> (records of procedures for data entry, computer equipment operation, production control, tape library, system back up, and other aspects of a data processing operation)</p>	ADM9920	Active + 3 years	Review for continuing historical value and potential transfer to Archives

*IS&T
 Information Systems

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Record series	IUC No.	Retain	Disposition
* Capital Planning <u>Blueprints</u>	ADM 2030	Active + 6 years	



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Record series	IUC No.	Retain	Disposition
* <u>Capital Planning-Architects Building and Project Plans</u> (original building plans and details for new buildings, building renovations and original building documents Pre-CSU)	ADM2030	Active + 6 years (inactive when no longer referenced)	Archives (Retain for life of building)
* <u>Capital Planning - Architects Construction Projects– Construction Designs and Specifications</u> (written requirements and standards for materials, equipment, construction systems and workmanship as applied to the work and certain administrative details applicable thereto)	ADM2030	Active + 6 years	Permanent
* <u>Capital Planning - Architects Construction Projects Design Review Committee</u> (minutes, agendas, correspondence and general information. Committee responsible to review site and elevation plans to ensure compatibility with surrounding projects and master plan)	ADM2030	Active + 6 years	Review for continued value and possible transfer to archives
* <u>Capital Planning - Architects Construction Projects– Construction Documents</u> (collectively, the drawings, specifications, addenda, definitions, notice to bidders, bid form, contract and attachments, bond, bulletins, shop drawings, change orders, change order procedures and pricing guidelines and standard conditions of the contract assignments if any – general and special)	ADM2030	Active + 6 years	Permanent
* <u>Capital Planning - Architects Construction Projects– Design Development</u> (design of project is fully described with regard to the basic building systems and materials as well as all special systems needed to support the program)	ADM2030	Active + 6 years	Archives
* <u>Capital Planning-Architects Construction Project Request & Program Statement</u> (request from the University community to initiate a project)	ADM2030	Active + 6 years	Review for continued value and possible transfer to archives

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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
* Human Resources <u>Administrative State Civil Service, Personnel</u> <u>Accounting for Classified Employees</u>			

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Record series	IUC No.	Retain	Disposition
* Parking & Transportation <u>Disabled Parking Permits</u>	ADM9900	1 year	

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Record series

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Record series	IUC No.	Retain	Disposition
<u>Program Evaluations</u>	EDU1000	Active + 6 years	Review for administrative value – retain summaries permanently
* <u>Registrar’s Academic Records</u> (Record of academic work pursued).	EDU1000	IND	Permanent (may be sent to Archives)
* <u>Registrar’s Change of Grade Forms</u> (update documents)	EDU1000	IND	Permanent (may be sent to Archives)

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Retention Periods Pertain To Paper Copies and Electronic Formats

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Record series	IUC No.	Retain	Disposition
* Admissions <u>Personalized Recruitment Material for Applicants Who Do Matriculate</u>	EDU1010	3 years	Destroy
* Admissions Applicants who do not Matriculate <u>Transcripts – OTHER INSTITUTIONS OF HIGHER LEARNING</u>	EDU1010	Active + 1 year	Destroy
* Admissions <u>Placement Records</u> (on campus recruiting schedules, credentials, recommendation letters, release forms, data sheet, employer data base, senior and alumni residence hall placement, registration forms, on campus recruiting, senior alumni resources)	EDU1010	Active + 1 year	Destroy
* Admissions <u>Personalized Recruitment Material for Applicants Who Do Not Matriculate</u>	EDU1020	Active + 3 years	Destroy
* Admissions Applicants who do not Matriculate <u>Acceptance Letters</u> (letters notifying student of acceptance or non-acceptance to the university)	EDU1100	Active + 3 years	Destroy
* Admissions Applicants who do not matriculate <u>Applications for Admission/ Readmission</u> , (did not enroll, file incomplete or denied)	EDU1100		

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Record series	IUC No.	Retain	Disposition
<p>* Athletics <u>Athletic Student Files</u> (transcripts, letters of recommendation, course records, academic programming, admission copies and high school records.,NCAA reviews and documents, etc.; includes students who have graduated, actively enrolled students, and students who are no longer actively enrolled)</p>	EDU1010	Active + 6 year	Destroy

* Athletics

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Record series	IUC No.	Retain	Disposition
<u>Certification/License Records</u> (pertaining to Education Student Services Center)	EDU1010	Active + 2 years (inactive when superseded)	Destroy 8½ x 11 documents (3x5 cards permanent)
<u>Exam Reports– Praxis I & II</u> (score reports from the Educational Testing Service)	EDU1010	Active + 2 years (7 years for those that form basis of dispute)	Destroy
* <u>Financial Aid</u> Non U.S. Department of Education Funding <u>National Guard Scholarship Rosters</u> (lists of students receiving scholarships from the Ohio National Guard)	EDU1010	Active + 1 year	Destroy – Review for historical value and possible transfer to Archives
* <u>Financial Aid</u> Non U.S. Department of Education Funding – <u>Ohio Instructional Grants Files</u> (record submitted by student for payment of fees, eventually sent to OBOR for payment)	EDU1010	Active + 1 year	Destroy – Review for historical value and possible transfer to Archives

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Record series	IUC No.	Retain	Disposition
* Financial Aid <u>Guaranteed Student Loan Applications</u> (copy of student loan application, which is forwarded back to potential lending facility)	EDU2000	Active + 6 years	Destroy
* Financial Aid <u>Loans (Emergency)</u> Paperwork for students who apply and are approved for emergency loans. Original application	EDU2000	Active + 6 years	Destroy
* Financial Aid <u>Loan Disclosures</u> Documentation sent from lenders regarding loan guaranty	EDU2000	Active + 6 years	Destroy
* Financial Aid Non U.S. Department of Education Funding <u>General Administrative Annual Interim Fiscal Operations Reports</u> (reports to federal government on expenditures for federal programs)	EDU2000	Active + 6 years	Review for continuing administrative or historical value and transfer to archives
* Financial Aid Non U.S. Department of Education Funding <u>Ohio Bureau of Vocational Rehabilitation Grants Files</u>	EDU2000	Active + 6 years	

Cleveland State University– Records Retention Schedule Page 3

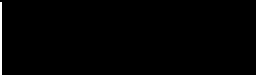
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Record series	IUC No.	Retain	Disposition
* <u>International Services</u> <u>Applications Awaiting Decisions</u>	EDU1010	Active + 2 years	Destroy
* <u>International Services</u> <u>Transfer Credits-Study Abroad</u> (includes letters of credential evaluation)	EDU1010	Active + 2 years	Destroy

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Record series	IUC No.	Retain	Disposition
<p>* Libraries <u>Library Statistics</u> (usage of periodicals, serials acquisitions, acquisitions/pre-orders, services and collections, reference, slide library, multimedia service, film service, material deposit, web statistics) <i>some statistics are coded into iii and compiled on demand</i>)</p>	EDU3000	IND (minimum Active + 5 years)	Review for possible transfer to archives
<p><u>Medical Records- Applicants who do Matriculate</u> (medical records related to application to the university)</p>	EDU1010	Active + 1 year	Destroy
<p><u>Medical Records- Applicants who do not Matriculate</u> <u>Ohio Bureau of Criminal Identification & Investigation Authorization</u></p>	EDU1010 EDU1010	 r1eW*nW*n /P AM	Destroy

Cleveland State University– Records Retention Schedule Page 6
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Record	IUC No.	Retain	Disposition
* Academic Departments <u>Student Records- Correspondence</u> (student specific correspondence- other than admissions)	EDU1010	Active + 1 year	Destroy
Student Records- Correspondence– No Response	EDU1010	Active + 1 year	Destroy
* Academic Departments <u>Student Records- Program Requirement Modification</u> (change of major forms; degree requirement waiver or substitution authorization)	EDU1010	Active + 1 year	Destroy
* Academic Departments <u>Student Records- Program Requirement Modification</u> (change of major forms; degree requirement waiver or substitution authorization)	EDU1010		

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Record	IUC No.	Retain	Disposition
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* Development

Gift Files

(gifts to institutions are divided into two classifications: current gifts and deferred gifts. A gift is considered current when the donors completely and irrevocably relinquish any interest they have in something, ex.: presenting a check, transferring real es

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Record	IUC No.	Retain	Disposition
<u>Scholar Loan Database</u>	EDU2000	EDU2000	Destroy

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Record	IUC No.	Retain	Disposition
<p>* <u>Environmental Health & Safety</u> Environmental Monitoring/Safety Records (records pertaining to environmental assessments, safety audits, OSHA compliance, EPA compliance, hazardous waste manifests, incident response reports, monitoring records, training records)</p>	ENV1000	IND	Review for permanent retention
<p>* <u>Environmental Health & Safety</u> Construction Projects Environmental Impact Assessment (used to determine potential environmental concerns existing at site prior to demolition and construction)</p>	ENV1010	IND	Destroy Review for historical value
<p>* <u>Environmental Health & Safety</u> Environmentally Hazardous Substances (records related to the use, manufacture and testing of hazardous substances)</p>	ENV2000	LOB + 6 years	

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Record	IUC No.	Retain	Disposition
<u>Bank Deposits</u> (record of deposits in banking institutions, includes batch deposits and control sheets)	FIN1000	4 years	Destroy
<u>Bank Reconciliations</u> (explanation of differences between bank statement balance and actual balance)	FIN1000	4 years	Destroy
<u>Bank Statements</u> (periodic statement of bank balances)	FIN1000	4 years	Destroy
* <u>CSU Foundation</u> <u>CSU Foundation Documents</u>	FIN1000	Active + 6 years	Destroy
* <u>Controller’s</u> <u>Check Runs</u> (checks issued from student’s accounts, includes account history, check register, check edit, list of checks to be voided or refunded)	FIN1000	4 years	Destroy
* <u>Controller’s</u> <u>Canceled Checks</u>	FIN1000	4 years	Destroy
* <u>Controller’s</u> <u>Check Register/Log</u> (handwritten listing of vendor, amount, date and check number-all cash disbursements paid by check)	0FIN1000 rg0 0		

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Record	IUC No.	Retain	Disposition
<p>* Controller’s <u>Minority Vendors – Orders Awarded</u> (computer printout from IS&T showing purchase orders issued to vendors flagged a MDE’s in our vendor file – monthly)</p>	FIN8010	Active + 5 years	Destroy

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Record	IUC No.	Retain	Disposition
* Campus Support <u>Business Plans</u> (includes contract summaries, facilities description of business, financial statements, marketing plan, capital spending plan)	FIN2000	Active + 1 year	Archives
<u>Utilities Budget – Requests/Calculations</u>	FIN2000	4 years	Destroy
<u>Endowment Fund Reports</u> (Annual-Periodic)	FIN3000	Active + 6 years	Archives Destroy periodic
<u>Bond Registers</u>	FIN5000	Active + 6 years	Destroy
<u>Bad Debt Actions</u> (overdue accounts, such as loans, payments for services rendered, parking tickets, library fines)	FIN6000	4 years	Destroy
<u>Delinquent Account Reports</u>	FIN6000	4 years	Destroy
* Treasury Services/General Counsel <u>Bankruptcies</u>	FIN6000	7 years	Destroy
<u>Financial Statements Submitted to Government Agencies</u> (report and background information)	FIN7000	4 years	Destroy
<u>Audit Report – External</u>	FIN7010	4 years	Destroy
* Education Student Services Center <u>Cost Accounting Files</u> (invoices for services rendered)	FIN7010	4 years	Destroy.BT7ET@y
* Purchasing <u>Bids – Rejected (Requests for proposals)</u> for purchases/services	FIN8000	3 years	Destroy
* Purchasing <u>Bids Accepted</u> Requests for Proposals (for purchases)	FIN8010	Active + 5 years	Destroy

IUC Purchasing Group Contract Bids
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Record	IUC No.	Retain	Disposition
* General Counsel <u>Legal Claims and Litigation</u> (records related to threatened or actual			

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Record	IUC No.	Retain	Disposition
* General Counsel Public Records Request Files	LEG9900	3 years from date request processed	Destroy
* Graduate Studies/Research Analysis Reports Files	LEG2000	IND	Archives
* Human Resources <u>Collective Bargaining Agreements</u>	LEG2000	Active + 5 years	R 5837u* nBTewAMC

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Record	IUC No.	Retain	Disposition
* Facilities Management <u>Elevator Certificates</u> (inspections and safety tests)	LEG5020	Active + 3 years	Destroy
* Facilities Management <u>Certificate of Occupancy</u> (upon completion of building projects, building certified safe for occupancy – includes permits, licenses)	LEG5020	Active + 3 years	Destroy
* Capital Planning - Architects <u>Asbestos Abatement</u> Requests for asbestos abatement, completion dates, and materials used)	LEG3010	IND	Archives

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Record

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Record	IUC No.	Retain	Disposition
* Controller Taxes	LEG5010	10 years	Destroy
* Parking <u>Parking Tax Remittance Records</u> (documentation of city parking tax)	LEG5010	6 years	Destroy
* Environmental Health & Safety			

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Record	IUC No.	Retain	Disposition
<p>* Human Resources <u>State Classification Files Classified Staff</u> (lists of classification by pay range as directed by the State Department of Administrative Services)</p>	MIS1010	SUP	Destroy
<p>* IS&T Information Systems <u>Help Desk Logs and Reports</u> (records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes)</p>	MIS1000	1 year	Destroy
<p>* IS&T Information Systems <u>Computer Run Scheduling Records</u> (records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting</p>			

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Record	IUC No.	Retain	Disposition
<p>* Human Resources Benefit Plans (health care enrollment information, COBRA, eligibility updates, disbursement orders, change reports, reconciliations, vendor plans, coverage changes, green bar reports, premiums, disability and life, ARP and 403(b))</p>	PER1010	Active + 6 years	Destroy Review for administrative value

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Record	IUC No.	Retain	Disposition
<p>*Human Resources <u>Layoff Documentation- Classified Staff</u> (file contains printouts, rosters, and correspondence documenting layoff of university employees, pertinent employee data, date of hire, classification, department, and retention points (performance) are included)</p>	PER3010	5 years	Destroy
<p>*Human Resources <u>Performance Evaluation– Classified Staff</u> (file contains annual printouts and log books)</p>	PER3010	5 years	Destroy
<p>*Human Resources <u>Performance Evaluation– Classified Staff</u> <u>Reclassification Files</u> (record of university employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation)</p>	PER3010	5 years	Destroy
<p>*Human Resources <u>Performance Evaluation– Staff</u> <u>Reclassification Files</u> (record of university employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation)</p>	PER3010	5 years	Destroy
<p>*Human Resources <u>Summer Employment Files</u> (record of employees with alternate summer job responsibilities)</p>	PER3010	Active + 6 years	Destroy
<p>*Human Resources <u>Worker’s Compensation Files</u> (Employment, Health and Safety, Illness/Accident)</p>	PER4020	Active + 15 years	Destroy files where statute of limitations has passed – (verify with attorney)

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Record	IUC No.	Retain	Disposition
<p>* Health and Wellness <u>University Medical Records</u> (files of medical charts for university employees and their spouses, students, Includes medical histories, medical exams, progress sheets, x-rays, lab work, and related correspondence)</p>	PER4010	10 years (after last encounter) (legal retention 7 years)	Review for continuing value and possible transfer to archives
<p>* Health and Wellness <u>Lab Slips</u> (copy of lab work done for other departments)</p>	PER4011	2 years From Date of First Visit	Destroy
<p>* Speech & Hearing <u>Clinical Records</u> (records of clients presently receiving or have received therapy in the past)</p>	PER4010	10 years after most recent encounter – minors keep until age of majority plus 10 years	Archives

* **Environmental Health & Safety**
Hazardous Materials Radioactive Materials Authorized Users
 (includes applications for non-human use of RM; statement of prior training and experience; authorization for internal transfer of material between Aus; room

Retention Periods Pertain To Paper Copies and Electronic Formats

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Department shown in “* blue” is considered the official keeper of record and required to retain record for

Record	IUC No.	Retain	Disposition
* <u>Facilities Management Utilities Cost and Use Data</u> (electric, water, gas, and steam consumption and cost data)	REF0000	IND (minimum 5 years)	Review for value
<u>Floor Plans & Space Manual</u> (includes floor plans for all buildings, department room assignments and HVAC locations)	REF000	Current	Destroy non-current

* Human Resources