

University of Cincinnati

General Records Retention Schedule

Issued by UC Records Management, Archives and Rare Books Library

Updated August 14, 2020



Introduction

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 UC Records Management 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.

Applicable State Law and University Rules:

- [Section 149.33 of The Ohio Revised Code](#)
- [Section 149.43 of The Ohio Revised Code](#)
- [University of Cincinnati Rule 10.43.10](#)
- Definition:
 - "Records" includes any document, device, or item, regardless of physical form or characteristic, including electronic records as defined in section 1306.01 of the Revised Code, 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.

More information is available at the University of Cincinnati [Records Management webpage](#)

Using This Schedule

This general records retention schedule defines commonly-held records across most areas of the University of Cincinnati. **This schedule applies to common records managed by all campus units.** This records retention schedule will supersede the previous, department-specific schedules. Selected areas of campus with unique recordkeeping requirements have their own individual records retention schedules, which shall be used in conjunction with the general schedule. All schedules are approved and maintained by University Records Management.

This schedule indicates how long records must be kept in each office. **If more than one retention period applies to a record, it should be maintained for the longest of the applicable periods.** Following the retention period are disposition instructions, typically “Destroy” or “Transfer to University Archives.” Selected record groups may be kept indefinitely within an office. Disposition instructions can be found on the next page.

The following are records series held by central Human Resources; departments should send these to central HR:

- Affirmative Action Files
 - These include files of search committee documentation, including A900 Affirmative Action forms, applicant's resumes, and related correspondence.
- Benefit Elections
 - These include Beneficiary forms, individual disability policies, UC benefits enrollment forms.
- Personnel Records (Central)
 - These include employee records for faculty and staff, including RPT and evaluations, personnel assignments, changes in employment classification level.
- Position Descriptions and Classification
 - These include general information, position descriptions, and classification rules, job studies, review committee findings, personnel reports, and procedures related to job classification/descriptions.
- Retirement Files:
 - These include correspondence and documentation associated with candidates for retirement and relevant tax details

Retention Definitions

- 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 a specific number of years
- IND: indefinite. These records must be retained indefinitely in the office of record

Disposition – Destroying Records

Retention rules apply to both paper and electronic records. In general records can be destroyed when the following conditions are met:

- a) the retention period has passed as listed on the schedule;
- b) the disposition on the schedule is marked, “Destroy”; and
- c) there is not an ongoing legal hold or discovery request from General Counsel.

If the records are marked as, “Archive...,” or “Transfer to University Archives,” they must be transferred to University Archives. Do NOT destroy. If you have records that are not listed on the schedule, please call the UC Records Manager.

Please fill out a [Certificate of Disposal](#) whenever you shred/purge/destroy records. More information on disposing of records can be found on the [Records Management webpage](#).

All disposal forms should be emailed or sent to [University Archivist Christopher Harter](#)

Disposition – Transferring Records to University Archives

Offices are responsible for transferring records in any format (electronic or paper) to University Archives, if they are designated as “Transfer to University Archives.” For more information, email [University Archives](#) or call 513-556-1959.



Advice on Email

In the state of Ohio, “email” is not a distinct type of record with a one-size-fits-all retention period. The Ohio Electronic Records Committee [tip sheet on email](#) notes, “Not all emails will necessarily be filed under the record series “correspondence.” Email is not a record series and end users should review their emails based on the email’s content and use the same records series that they would use if the same information were distributed on paper.”

For example, this means that email records related to payroll issues should be retained for the same retention period as other payroll records, emails related to student grade appeals should be retained for the same retention period as student grade appeal records, etc. Organizing your email in folders by subject and then chronologically is an easy way to ensure that email is retained for the appropriate period.

Most emails sent and received by users are not records that must be retained for a long period, because they are often “transient” records or not records at all. Examples of transient records include routine meeting reminders, courtesy copies, received university listserv notices, and drafts. These can be deleted once they are no longer needed. Emails that are not records include personal correspondence, professional organization listserv emails, and spam.

Due to technological limitations, the emails of separated employees are deleted after 180 days. Immediately after separation, those who need access to a separated employee’s emails can work with the Office of Information Security to gain access to the email account according to the [Data Retrieval policy](#).

University of Cincinnati employees should not use personal email accounts (e.g., Gmail, Yahoo, etc) to conduct university business. University business conducted via email should always be done through UC email accounts.

Accounting and Finance Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Accounts Payable/Receivable	GRS-ACC-01-2016	Includes invoices for various purchases, sundries purchases, and any other miscellaneous accounts to be paid or monies received.	4 years	Destroy	ACC1000
Ancillary information Systems and Databases	GRS-ACC-02-2016	Various ancillary systems with customer information and profiles that support parking, Bearcat card, Campus housing, Rec center, ticketing offices, community program registration, etc	ACT+4 years	Destroy	ACC1000/ ACC3000
Annual Financial Reports	GRS-ACC-03-2016	Annual financial/budget reports at the university, college, department/unit/area level.	4 years	Transfer to University Archives	FIN7000
Assets and Capital Property	GRS-ACC-04-2016	Purchase, sale of equipment, vehicles and assets, depreciation, maintenance, correspondence, audits of assets/property.	ACT+6 Years	Destroy	ACC2000
Audit (External) Records	GRS-ACC-05-2016	Report of state or independent auditor (external) and related records	4 years	Destroy	FIN7010
Budget/Financial Files	GRS-ACC-06-2016	Budget reports and planning files. Includes supporting documentation and working papers.	ACT+1 year	Destroy	FIN2000
Debt Records	GRS-ACC-07-2016	Records related to issued and non-issued debts. Includes Official Statements, Payment Schedules, Debt Service Schedules, UC BOT approved Board Resolutions, OBR debt approvals, Accounting entries, Bank statements and drawdown letters, and Leases .	ACT+6 Years	Destroy	FIN5000
Delinquent Obligations	GRS-ACC-08-2016	Delinquent obligation notices and other records associated with collecting delinquent charges and fees.	4 years	Destroy	FIN6000
Deposits and Banking	GRS-ACC-09-2016	Deposits and banking records	4 years	Destroy	FIN1000
Equipment Files	GRS-ACC-10-2016	Inventory of all equipment serviced and used by department.	ACT+6 Years	Destroy	ACC2000
Events Files	GRS-ACC-11-2016	Chronological files of negotiating fees, travel arrangements, and correspondence for visiting speakers and events.	4 years	Destroy	ACC1000
Gifts & Endowments	GRS-ACC-12-2016	Financial records related to gifts, gift funds, and endowments.	ACT+6 years	Destroy	FIN3000
Grants - Financial	GRS-ACC-13-2016	Financial records related to the administration and distribution of grant monies	ACT+4 years	Destroy	ACC1000/ FIN7000

Accounting and Finance Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Intra-University Charges File	GRS-ACC-14-2016	Departmental records related to the transfer of variable charges between university departments.	4 years	Destroy	ACC3000
Inventory Records	GRS-ACC-15-2016	Inventory of all assets. Warranties, manuals for equipment operation.	ACT+6 Years	Destroy	ACC2000
Investment Records	GRS-ACC-16-2016	Reports and records concerning the university's current investments	ACT+6 years	Destroy	FIN3000
Invoices	GRS-ACC-17-2016	Bills for services rendered	4 years	Destroy	ACC1000
Ledgers	GRS-ACC-18-2016	Departmental budget ledgers and/or journals detailing departmental account activities. Annual/final records only.	6 years	Destroy	ACC1010
Packing and Shipping Records	GRS-ACC-19-2016	Files of packing slips and invoices for shipments and equipment and materials received	3 years	Destroy	FIN8020
Payment Records and Receipts	GRS-ACC-20-2016	Receipts given for supplies purchased and services rendered.	4 years	Destroy	ACC1000
Payroll Records	GRS-ACC-21-2016		4 years	Destroy	ACC1000
P-Card Records	GRS-ACC-22-2016		ACT+5 years	Destroy	FIN8010
Petty Cash Records	GRS-ACC-23-2016	Records for petty cash transactions.	4 years	Destroy	ACC1000
Purchase Orders Records	GRS-ACC-24-2016	Records related to purchases or purchasing power by the department	ACT+5 years	Destroy	FIN8011
Purchasing Records	GRS-ACC-25-2016	Records related to requests for bids, reviews, request for proposals, price estimates for potential purchases or services, etc	3 years	Destroy	FIN8000
Refunds Files	GRS-ACC-26-2016	Forms indicating necessity of refund.	4 years	Destroy	ACC1000
Reimbursement Requests	GRS-ACC-27-2016	Requests and supporting documentation for reimbursement requests.	4 years	Destroy	ACC1000
Reports Files	GRS-ACC-28-2016	Periodic reports of summary budget and financial data compiled for ongoing administrative and historical purposes.	4 years	Destroy	FIN7000

Accounting and Finance Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Sales and Receipts Reports	GRS-ACC-29-2016	Reports and receipts for sales, services, fees and fines (including cash). May include Daily totals.	4 years	Destroy	FIN1000
Special and Restricted Accounts Files	GRS-ACC-30-2016	Chronological file of detail for special and restricted university established accounts.	4 years	Destroy	ACC1000
Statements and Balance Sheets	GRS-ACC-31-2016	Includes general ledgers, journal entries, and month end totals	4 years	Destroy	ACC3000
Student Billing Records	GRS-ACC-32-2016	Billing to students for tuition, services, room and board, and other expenses	4 years	Destroy	ACC1000
Student Insurance Records	GRS-ACC-33-2016	Files of Student Health Insurance Registration receipts, records of declined insurance coverage, claims and investigations, and when coverage was purchased.	4 years	Destroy	ACC3000
Ticket Sale Information	GRS-ACC-34-2016	Reports, orders	4 years	Destroy	ACC1000
Transfers	GRS-ACC-35-2016	Records associated with transferring monies between funds.	4 years	Destroy	ACC1000
Travel Records	GRS-ACC-36-2016	May include travel authorizations, travel expense reports, and payment requests.	4 years	Destroy	ACC1000
UC Foundation Files	GRS-ACC-37-2016	Reports and records sent to and from UC Foundation.	ACT+6 years	Destroy	FIN3000
Vendor Invoices	GRS-ACC-38-2016	Copies of vendor invoices paid by university offices.	4 years	Destroy	ACC1000

Administrative Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Accreditation	GRS-ADM-01-2016	Accreditation reports, working papers, and site visit records for accrediting bodies. May include documents and correspondence submitted to and received from accrediting agency.	10 years	Transfer to University Archives any final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.	ADM3020
Alumni Records	GRS-ADM-02-2016	Directory and other information related to alumni (individuals and groups)	3 years	Destroy, unless necessary for continued administrative or historical purposes.	ADM9910
Attendance/ Participation Rosters	GRS-ADM-03-2016	Attendance and participation records kept as needed for administrative purposes.	1 year	Destroy	ADM9900
Awards	GRS-ADM-04-2016	Includes awards given to faculty, staff, students, and external community members for service, performance, fellowships, and endowed positions. Records include lists of nominations, publications, correspondence, and announcements of awards. For financial awards/scholarships given to students, see the "Education - Awards & Scholarships" record group.	3 years	For University-level awards, transfer lists of awardees and general information about award and selection criteria to University Archives. For remaining documentation and awards lower than the university-level, destroy unless necessary for continued administrative or historical purposes.	ADM9910
Building and Grounds Routine Maintenance and Inspection	GRS-ADM-05-2016	Vehicles, Building Hours, Maps, Alarm Codes & Keys, Door Locks, Chimes, Building Counters, Assets, Housekeeping, Maintenance, Space Usage, Pest Control Invoices, Catering, Construction, Building Values, Utilities, Landscaping, Food Court Vendors, work orders, maintenance and inspections.	ACT+6 years	Destroy	ADM2020
By-laws	GRS-ADM-06-2016	By-laws for any decision-making or representative body, including faculty committees, staff organizations, etc	ACT+10 years	Transfer to University Archives	ADM3000

Administrative Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Certificate of Records Disposal	GRS-ADM-41-2018	Certificates of records disposal showing compliance with UC Records Management program. University Archives holds all transmitted copies permanently, offices should retain local copies for shorter period.	3 years	Certificates should be sent to University Archives as soon as disposal takes place. The 3 year period applies to copies of the certificate held in local offices.	ADM3020
Committee, Cabinet, Working Group, and Task Force Files	GRS-ADM-07-2016	May include minutes, agenda, supporting documents for review, and notes. The Chair of the Committee, unless otherwise designated, is responsible for the Record Copy and Disposition/Archiving.	3 years	For bodies at the university-level, and college-wide decision-making or representative bodies, transfer all final copies of agendas, minutes, and supporting materials to University Archives. Destroy all other.	ADM9910
Compliance Files	GRS-ADM-08-2016	General compliance files. May include workshop materials, required employee training attendance records, training certificates, compliance reports, data, etc.	10 years	Transfer to University Archives any final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.	ADM3020
Compliance Findings	GRS-ADM-09-2016	Records by investigator of problems found, solutions, and disciplinary actions.	10 years	Destroy	ADM3020
Correspondence – Routine and Transient	GRS-ADM-10-2016	Correspondence, paper or electronic (including email), routine or transient in nature, that is of limited, short-term value, e.g. appointment setting, inquiries about holdings or programs, etc.	Until Superseded	Destroy	ADM9905
Correspondence and Memoranda	GRS-ADM-11-2016	Correspondence and memos, paper and electronic, related to the operation, policies, procedures, major activities and development of the university/college/department.	3 years	Contact University Archives concerning documentation of historically significant decisions/events. Destroy remainder unless necessary for continued administrative or historical purposes.	ADM9910
Donor and Gift Files	GRS-ADM-12-2016	Correspondence, donations, contact reports, and confidential research information. Also includes	ACT+6 years	Destroy, unless necessary for continued administrative or historical purposes.	FIN3000/L EG2000

Administrative Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
		endowment/gift agreements/academic/scholarship funds. Information about major gifts or endowments by donor, including information on the gift, any assessment or IRS forms, and information about money procured for processing. Financial records related to the actual fund account are covered under the Accounting and Finance "Gifts and Endowments" record group.			
Emeriti Files	GRS-ADM-13-2016	Correspondence with emeriti faculty, recommendations and policy re: emeriti faculty by the University	3 years	Destroy	ADM9910
Equipment Maintenance, Service And Inventory Records	GRS-ADM-14-2016	Equipment service and inventory records showing maintenance and repair histories and final disposition (e.g. lost, stolen, transferred). Equipment general operating information, specifications, correspondence, worksheets, warranty information, manuals	ACT+6 years	Destroy	ACC2000/ ADM2020
Events/Special Project Files	GRS-ADM-15-2016	Community and campus events, special projects, lectures, and exhibits. Includes meeting minutes, finance and planning records, agenda, and miscellaneous information	3 years	Transfer to University Archives any Archive final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.	ADM9910
External Organizations	GRS-ADM-16-2016	Correspondence or reports from civic, academic, or professional organizations that are external to UC. Can include information of a general nature, reports, minutes/agenda, newsletters or professional development materials.	1 year	Transfer to University Archives any final or major reports for which UC has contributed significant information, destroy supporting documentation unless necessary for continued administrative or historical purposes.	ADM9900

Administrative Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Grants and Sponsored Research Files – Unfunded Grants	GRS-ADM-17-2016	Files related to unfunded grant proposals.	3 years	Destroy	ADM9910
Grants and Sponsored Research Files – Funded	GRS-ADM-18-2016	Files related to the administration of successfully funded proposals/contracts. Generated for each new or continuing award (contracts and/or grants) from various outside sponsors/agencies (i.e. Federal, State, & Local Governments, Private Industry, etc.) Includes forms, Cost Sharing documentation, Notice of Award, & related document	Minimum of ACT+5 years unless specified longer by granting agency	Destroy	LEG2000
Handbooks	GRS-ADM-19-2016	Includes Student, Academic Unit, Faculty, and Staff handbooks.	ACT+10 years	Transfer to University Archives	ADM3000
IRB Files	GRS-ADM-21-2016	IRB proposals, consent forms, and associated paperwork/documentation. Retention of actual research records is governed by University rule 10-43-18.	3 years	Destroy	45 CFR 46.115 - IRB records.
Key Records	GRS-ADM-22-2016	Key database with faculty, staff, student key records. Includes correspondence from faculty and staff re: key assignments and authorizations, key deposit receipts. May also include badge requests, access requests for staff, faculty, affiliates.	3 years	Destroy	ADM4000
Listservs	GRS-ADM-23-2016	UC listservs used for announcements, communications, and administrative purposes.	3 years	Transfer anything documenting historically significant decisions/events to University Archives. Destroy remainder.	ADM9910
Mailing lists/Contacts Database	GRS-ADM-24-2016		ACT+3 years	Destroy	ADM9920

Administrative Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Organization Charts	GRS-ADM-25-2016	Charts depicting reporting lines in colleges/departments/offices.	ACT+10 years	Destroy	ADM3000
Participant Incident Reports (Adults)	GRS-ADM-20-2020	Incident reports of an injury, accident, theft, or other similar problem. Records related to injuries or accidents sustained by UC employees are found under the Personnel record series. If any records become part of an investigation, they should be retained for a longer period, detailed as part of the Compliance Findings series.	3 years	Destroy	ADM4000
Participant Incident Reports (Minors)	GRS-ADM-41-2020	Incident reports of an injury, accident, theft, or other similar problem. This retention applies to Covered Programs as defined in the University's Minors on Campus policy (Policy Number 16.19).	When participant reaches age 21 + 3 years	Destroy	ADM4000 and ORC 3109.01
Planning/ Forecasting	GRS-ADM-26-2016	Records related to planning/forecasting for internal purposes. Includes five- and ten-year strategic plans, enrollment reports, program reviews, long range planning, minutes/correspondence, surveys, assessment, data, etc.	ACT+1 year	Transfer to University Archives	ADM1020
Policies, Procedures, and Rules	GRS-ADM-27-2016	Policy manuals, procedures, rules, faculty & student handbooks, documentation of rulings and decisions.	ACT+10 years	Transfer to University Archives	ADM3000
Program Participant Files (Non-academic, Adults)	GRS-ADM-29-2020	Files that support program participation. May include registration forms, medication authorization forms, and permission forms.	3 years	Destroy	LEG9900
Program Participant Files	GRS-ADM-42-2020	Files that support program participation. May include registration forms, medication authorization forms, and	When participant	Destroy	LEG9900 and ORC 3109.01

Administrative Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
(Non-academic, Minors)		permission forms. This retention applies to Covered Programs as defined in the University's Minors on Campus policy (Policy Number 16.19).	reaches age 21 + 3 years		
Program Responsibility Documentation for Minors on Campus Programs	GRS-ADM-43-2020	This includes documentation that all sponsors of programs involving minors must fill out. Includes information about authorized adults, emergency plans, communication plans, and supervisory plans. This retention applies to Covered Programs as defined in the University's Minors on Campus policy (Policy Number 16.19).	3 years	Destroy	ADM9910
Programming and Planning records	GRS-ADM-30-2016	Records related to program development, planning, promotion, assessment and evaluation, recommendations, review and administration. May include white papers, reports, meeting minutes/agendas, high-level correspondence, and other records.	3 years	Transfer to University Archives any final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.	ADM9910
Reorganization Files	GRS-ADM-31-2016	Records relating to significant college or division reorganization.	ACT+10 years	Transfer to University Archives any final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.	ADM3000
Reports -- Annual or Major	GRS-ADM-32-2016	Annual and occasional reports produced by the college, department, or unit, that cover significant achievements, goals, etc.	3 years	Transfer to University Archives	ADM9910
Safety Records	GRS-ADM-33-2016	Includes safety action plans, employee health and safety documentation. See also "Incident Reports" and "Policies, Procedures, and Rules" record groups.	3 years	Destroy	ADM4000

Administrative Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Scheduling	GRS-ADM-34-2016	Scheduling of personnel, classes, events, and activities	1 year	Destroy	ADM9900
Scholarships and Grants (for students)	GRS-ADM-35-2016	Correspondence, committee memberships, and Advice of Gift Remittance Forms re: scholarships administered to students. This group covers the administration of such grants, for files related to individual students receiving scholarships/grants, see "Education - Financial Aid - Scholarships and Grants" record group.	3 years	Destroy	ADM9910
Self-assessment/ Internal Studies	GRS-ADM-36-2016	Records demonstrating compliance with internal or external policies and procedures	4 years	Destroy	ADM3010
Surveys	GRS-ADM-37-2016	Responses to administered surveys and any final reports, created for distribution, generated from survey results.	3 years	Transfer to University Archives any final reports of surveys conducted at the college or university level, destroy all responses unless necessary for continued administrative or historical purposes.	ADM9910
Training Materials	GRS-ADM-38-2016	Includes any material developed or used by the department to conduct training or distributed to trainees	3 years	Destroy	ADM9910
Union Files - General	GRS-ADM-39-2016	Subject files held by local units of general information, copies of signed agreements, policies and procedures, correspondence and supporting documentation relating to non-grievance, non-specific personnel matters, etc. Files related to negotiating new contracts/agreements are part of the record group "Legal - Collective Bargaining/Contract Administration"	3 years	Destroy	ADM9910

Administrative Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Violations/Fines	GRS-ADM-40-2016	Records related to parking violations, library fines, etc. For paid fines/violations see "Accounting and Finance -- Sales and Receipts Reports" record group.	4 years	Destroy	FIN6000

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Academic Advising Guidelines and Policies	GRS-EDU-01-2016	Guidelines and policies for academic advising services used by students.	ACT+10 years	Transfer to University Archives	ADM3000
Academic Advising Records	GRS-EDU-02-2016	Records related to academic advising provided to individual students.	ACT+1 year	Destroy	EDU1010
Academic Petitions	GRS-EDU-03-2016	Petitions for a variety of requests, such as reinstatement, extensions, course waivers, etc.	ACT+1 year	Destroy	EDU1010
Add-Drops	GRS-EDU-04-2016	Additions or deletions of courses by students.	ACT+1 year	Destroy	EDU1010
Admissions committee and Decisions	GRS-EDU-05-2016	Admissions Committee voting decisions and notes. These documents hold information for both accepted & matriculated candidates and non-accepted candidates.	ACT+1 year	Destroy	EDU1010/EDU1100
Annual or Occasional Reports	GRS-EDU-06-2016	Annual and occasional reports concerning academic activities, including teaching and research, produced by the College or Department and/or constituent units. Reports may include narratives and statistics, such as enrollment numbers.	ACT+6 years	Transfer to University Archives	EDU3000

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Applicants - Matriculating	GRS-EDU-07-2016	Files of application materials (incl. transcripts, scores, personal statements, and correspondence) from students applying to the University who are subsequently admitted and enroll at the University.	ACT+1 year	Destroy	EDU1010
Applicants - Non-Matriculating	GRS-EDU-08-2016	Files of application materials (incl. transcripts, scores, personal statements, and correspondence) from students applying to the University but who never actually enter, whether due to denial of admission or those who were accepted but choose not to enter the program.	1 year	Destroy	EDU1100
Applicants - Transfer Files - Accepted Applicants	GRS-EDU-09-2016	Accepted individual applications to transfer to a college or program, with any relevant correspondence, admissions information, and decisions.	ACT+1 year	Destroy	EDU1010
Applicants - Transfer Files - Non-Accepted Applicants	GRS-EDU-10-2016	Denied individual applications to transfer to a college or program, with any relevant correspondence, admissions information, and decisions.	ACT+1 year	Destroy	EDU1010
Attendance Records	GRS-EDU-11-2016		ACT+3 years	Destroy	EDU1015
Awards & Scholarships	GRS-EDU-12-2016	Financial awards given students for educational, research, or other accomplishments. Records include lists of nominations, publications, correspondence, and announcements of	ACT+6 years	Transfer to University Archives lists of awardees and general information about award and selection criteria, destroy supporting documentation unless necessary for	EDU2000

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
		awards. For non-student awards, see "Administration - Awards" record group.		continued administrative or historical purposes.	
Co-ops, Field Experience, and Internships	GRS-EDU-13-2016	Records related to student participation in co-ops, field experience placements, and internships. May include reports, learning objectives, documentation of hours worked, evaluations, and forms.	IND for records that verify student experience for certification/licensure, ACT+3 years for all other records	Retain indefinitely the records needed to verify certification/licensure in local office. Destroy all others.	EDU1000/E DU1015
Counselors' Logs	GRS-EDU-14-2016	Counselors' logs with individual students.	ACT+1 year	Destroy	EDU1010
Course Evaluations	GRS-EDU-15-2018	Student course evaluations re: courses & faculty	10 years	Destroy	AAUP-CBA 6.3 & Office of the Provost
Course Listings and Schedules	GRS-EDU-16-2016	Listings/schedules of academic credit courses. Maintained in eCurriculum.	ACT+6 years	Transfer to University Archives	EDU3000
Course Preparation Materials	GRS-EDU-17-2016	Includes special topics course proposals, documentation on courses, syllabi, course descriptions, etc. Instructional materials typically belong to the faculty member.	ACT+3 years	Instructional materials typically belong to the faculty member. If the department holds additional records, contact University Archives for further review.	ADM9910

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Curricula/ Program Materials	GRS-EDU-18-2016	Course descriptions. Maintained in eCurriculum.	ACT+10 years	Transfer to University Archives	ADM3000
Degree Information	GRS-EDU-19-2016	Information and records related to the requirements for a degree program.	ACT+10 years	Transfer to University Archives	ADM3000
Electronic Theses and Dissertations	GRS-EDU-20-2016	Electronic Theses and Dissertations uploaded into OhioLink and UMI. Maintenance of both the ETD and signature pages itself.	IND	ETD uploaded to OhioLink and UMI in cooperation with Graduate School policies, additional records maintained in office as needed	EDU1000
Faculty Workload Reports	GRS-EDU-21-2016	Faculty Workload Reports, recording course load, teaching/admin hours/week, research activities, etc.	5 years	Destroy	PER6000
Financial Aid	GRS-EDU-22-2016	General records related to the administration of financial aid and financial aid policies. For individual students' financial aid files, see subsequent "Financial Aid Files" record groups.	ACT+10 years	Destroy	ADM3000
Financial Aid Files - Government Loans	GRS-EDU-23-2016	Individual student files related to application, verification, deferrals, and disbursement of loans, from the US Department of Education.	ACT+3 years	Destroy	EDU2100

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Financial Aid Files - Private Loans	GRS-EDU-24-2016	Individual student files related to application, verification, deferrals, and disbursement of loans.	ACT+6 years	Destroy	EDU2000
Financial Aid Files - Scholarships and Grants	GRS-EDU-25-2016	Individual student files related to application, verification, and disbursement of scholarships and grants.	ACT+6 years	Destroy	EDU2000
Fresh Start	GRS-EDU-26-2016	Documents re: students who attempt to return to school using grades from previous years	ACT+1 year	Destroy	EDU1010
Grade Changes	GRS-EDU-27-2016	Forms recording appeals and/or changes of grade. Record Copy held by University Registrar	IND	Destroy local copies after ensuring permanent records are captured in Student Information System	EDU1000
Grades	GRS-EDU-28-2016	Copies of grades from courses offered by the department taken by students. Record Copy of grades/transcripts maintained by University Registrar.	IND	Destroy local copies after ensuring permanent records are captured in Student Information System	EDU1000
Graduation Lists	GRS-EDU-29-2016	Lists of students approved for graduation, sent from colleges or departments to the Registrar's Office. Record Copy of final (official) transcripts held by Registrar's Office.	IND	Destroy local copies after ensuring permanent records are captured in Student Information System	EDU1000
Name, Gender, or Residency	GRS-EDU-30-2016		ACT+1 year	Destroy	EDU1010

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Change Requests					
Ohio Board of Regents Files	GRS-EDU-31-2016	Reports, agendas, minutes for IUC, student lists, subsidy reports, management reports, etc.	ACT+6 years	Transfer to University Archives	EDU3000
Program and Curriculum Files	GRS-EDU-32-2016	Documentation and correspondence relating to programs offered by the college, including information on curricula and equipment, recommendations and external evaluations, and information on similar programs in other institutions.	ACT+6 years	Transfer to University Archives any documentation related to final program or curriculum changes. Destroy supporting documentation unless necessary for continued administrative or historical purposes.	EDU3000
Resident Advisor/Counselor Reports	GRS-EDU-33-2016	General residence hall reports prepared by resident counselors and advisors regarding programs, major incidents, follow-ups, staff development efforts, and concerns.	ACT+3 years	Destroy	ADM9910
Statistics and Research Data	GRS-EDU-34-2016	Statistics and research data on enrollment, graduation, and other institutional/college/department statistics. May include post-graduation employment statistics. Also includes raw research data materials, data analysis, and reports.	ACT+6 years	Transfer to University Archives any final or major reports, destroy supporting documentation unless necessary for continued administrative or historical purposes.	EDU3000

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Student Academic Records	GRS-EDU-35-2016	May include applications, grades, academic progress, correspondence with or about student, supplementary forms, changes of grades, academic actions, etc, for students.	IND for records that document student experience potentially needed for future verification (e.g., licensing, credentials, etc) that are not held by the Registrar's Office. ACT+1 for all other records	Retain indefinitely in office for records needed for future verification that are not already in the Student Information System. Destroy all others.	EDU1000/EDU1010
Student Academic Records – Non-Credit	GRS-EDU-36-2016	Records related to non-credit status students, including registration forms and associated correspondence.	ACT+1 year	Destroy	EDU1010
Student Academic Work	GRS-EDU-37-2016	Student work kept by instructors including exams, papers, and portfolios. Student work is not considered an official university record, and the retention period advised is an unofficial recommendation.	Term of Work+1 year	Destroy	UC Student Grievance Policy
Student Disciplinary Records	GRS-EDU-38-2016	Student case files for academic and non-academic behavioral issues, not including Title IX . Documentation may cover cases related to suspension, dismissal, or probation from an academic program.	IND for those students permanently dismissed, ACT+6 years for all others	Retain indefinitely in office for those permanently dismissed, Destroy for all others	LEG4000/EDU1000
Student Files - Housing	GRS-EDU-39-2016	Includes copies of parent/student correspondence, receipts, and payments	ACT+1 year	Destroy	EDU1010

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Student Health Insurance	GRS-EDU-40-2016	General records related to the administration of student health insurance. May include signed waiver cards indicating if the student has accepted or waived University Student Health Insurance.	ACT+3 years	Destroy	ADM9910
Student Recruitment	GRS-EDU-41-2016	High school recruiting, freshman letters (confirmed & offered), department head freshmen letters, school visits, testing information. See also "Applicants" record groups.	ACT+1 year	Destroy	EDU1010
Student Services - Appointment Records	GRS-EDU-42-2016	Record of appointments for student services such as tutoring.	ACT+1 year	Destroy	EDU1010
Student Services - Tutoring/ Coaching/ Learning Specialist Reports	GRS-EDU-43-2016	Reports to or from tutors/coaches/specialists on student progress	ACT+1 year	Destroy	EDU1010
Student Services - Tutoring/ Coaching/ Learning Specialist Student Files	GRS-EDU-44-2016	Includes class schedule, communications, academic goals, skill evaluations, learning style inventories, documented disability reports, testing reports, document release forms, tutor session feedback forms, meeting log	ACT+1 year	Destroy	EDU1010

Education Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Transcript Request Forms	GRS-EDU-45-2016	Transcript requests received from current and former students, and campus officers.	ACT+1 year	Destroy	EDU1010
Transcripts	GRS-EDU-46-2016	Transcripts of student's attendance, graduation dates, degrees, and permanent grades at the University of Cincinnati.	IND	Maintained in the Student Information System	EDU1000
Work Study Files	GRS-EDU-47-2016	Files of students employed via work-study program	ACT+6 years	Destroy	EDU2000/P ER3000

Legal Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
ADA Records	GRS-LEG-01-2016	Americans With Disabilities Act compliance records	6 years	Destroy	LEG5000
Affirmative Action Files	GRS-LEG-02-2016	Files relating to recruitment and Affirmative Action	6 years	Destroy	LEG5000
Animal Health/Care Records	GRS-LEG-03-2016	Includes husbandry, individual animal records, and veterinary animal health reports.	ACT+3 years	Destroy	9 CFR Part 2.35(f), Animal Welfare Act
Animal Requisition and Receipt Files	GRS-LEG-04-2016	Includes Animal Receipt Log, Animal Requisitions, Interstate Shipping Papers, and IACUC-related records.	ACT+3 years	Destroy	9 CFR Part 2.35(f), Animal Welfare Act
Arbitration Files	GRS-LEG-05-2016	Documentation and correspondence of all involved parties re: determination and arbitration hearing.	ACT+6 years	Destroy	LEG4000
Claims/Litigation	GRS-LEG-06-2016	Records related to threatened or actual litigation or government investigation.	ACT+6 years	Destroy	LEG4000
Collective Bargaining/Contract Administration	GRS-LEG-07-2016	Collective bargaining negotiations & contract administration - correspondence, drafts, final texts, contingency plans, memoranda of understanding, salary adjustments.	ACT+5 years	Transfer to University Archives final agreements and MOUs. Destroy all else.	LEG2000
Complaint Files	GRS-LEG-08-2016	Records from/concerning complainant concerning potential or actual discrimination including correspondence, copies of docs from Legal Advisory Services, EEOC Reports, Intake forms, departmental complaint forms, and summaries of actions taken.	ACT+6 years	Destroy	LEG4000
Compliance Records	GRS-LEG-09-2016	Records documenting the legal compliance in accordance with University, State, and Federal regulations, unless noted elsewhere.	6 years	Destroy	LEG5000

Legal Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Contract Performance	GRS-LEG-10-2016	Records related to compliance or performance of contracts; includes determination of costs, performance of services, payments	5 years	Destroy	LEG2010
Contracts & Agreements	GRS-LEG-11-2016	Includes personal services contracts, contracts with vendors for special events, clinical affiliation sites and departments, obligations under contracts for services, purchases and sales.	ACT+5 years	Destroy	LEG2000
Employee Grievances	GRS-LEG-12-2016	Chronological file of correspondence, working papers, hearing records, final disposition papers for grievances and/or hearings both pending and completed, filed by employees.	ACT+6 years	Destroy	LEG4000
License Agreements/Permits	GRS-LEG-13-2016	Records including licenses or permits required to conduct activities	ACT+3 years	Destroy	LEG5020
Participant Waivers (Adults)	GRS-LEG-16-2020	Waivers signed by program or event participants who are adults.	3 years	Destroy	LEG9900
Participant Waivers (Minors)	GRS-LEG-17-2020	Waivers signed by program or event participants, or parents/guardians for minor participants. This retention applies to Covered Programs as defined in the University's Minors on Campus policy (Policy Number 16.19).	When participant reaches age 21 + 3 years	Destroy	LEG9900 and ORC 3109.01
Property and Real Estate Files	GRS-LEG-14-2016	Alpha by subject re: University property, including deeds, transactions, taxes, leases, and legal descriptions.	ACT+6 years	Destroy	LEG2000/ACC2000

Legal Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Research Misconduct Investigations	GRS-LEG-15-2016	Includes reports, correspondence and related material	Minimum of ACT+7 years unless specified longer by granting agency	Destroy	42 CFR 93.317, HHS Retention and custody of the research misconduct proceeding record.
Title IX records	GRS-LEG-18-2020	All records related to Title IX matters, such as incident reports, supportive measures, formal complaints, grievance procedures, investigations, informal resolutions, and trainings.	ACT + 7 years (active means until the student graduates or otherwise loses student status, or the end of employment)	Destroy	34 CFR 106.45 (b)(10)
Title IX hearing and post hearing records	GRS-LEG-19-2020	All records related to Title IX hearing records, disciplinary sanctions, remedies, appeals, and trainings.	ACT + 7 years (active means end of sanction period or date of resolution if no sanctions are imposed)	Destroy	34 CFR 106.45 (b)(10)

Personnel Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Abolishment/ Layoff/Recall	GRS-PER-01-2016	Positions eliminated due to reorganization or lack of funds. Record copy held by HR, but may also be held locally.	5 years	Destroy	PER3010
Certifications/ Licensing	GRS-PER-02-2016	Certifications and licensing of faculty/staff, as required by their position duties.	ACT+3 years	Destroy	PER5010
Effort Reporting/Labor Verification	GRS-PER-03-2016	Files related to faculty effort workloads, or records related to labor verification related to a sponsored project.	5 years	Destroy	LEG2010
Faculty Criteria and Procedures - RPT and Merit	GRS-PER-04-2016	Policies and documentation outlining RPT and merit criteria and procedures for each College/Department.	ACT+10 years	Transfer to University Archives	ADM3000
Hazardous Exposure	GRS-PER-05-2016	Records documenting exposure or testing related to hazardous substances.	IND	Maintain indefinitely in office	PER4030
Health/Safety Accidents/ Injuries	GRS-PER-06-2016	Records related to on-the-job accidents used for worker's compensation claims	6 years	Destroy	PER4020
Leaves, Academic	GRS-PER-07-2016	Files of materials relating to the taking of academic leaves, including salary information, approvals, supporting documentation, and related correspondence.	ACT+6 years	Destroy	PER3000
Leaves, Medical/ Personal	GRS-PER-08-2016	Files of materials relating to the taking of medical or personal leaves, including salary information, approvals, supporting documentation, and related correspondence.	ACT+6 years	Destroy	PER3000
Merit Files	GRS-PER-09-2016	Merit salary increases for faculty and staff, including submissions, recommendations, and allocations. Record copy of final decisions should be transmitted to HR.	ACT+6 years	Destroy	PER3000
Outside Activity Reports	GRS-PER-10-2016	Documentation regarding collateral employment	5 years	Destroy	PER3010

Personnel Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Payroll Deduction Authorizations	GRS-PER-11-2016	All forms used to authorize deductions from charitable organizations, banks/credit unions, unions dues, memberships, etc.	5 years	Destroy	PER6000
Payroll files	GRS-PER-12-2016	Includes timesheets, time off from work forms, overtime and flex reports, vacation and sick leave reports, attendance records, Payroll Verification Reports, Requests for Hand-drawn Payroll Check, Payroll Check pickup sheets	5 years	Destroy	PER6000
Personnel Disciplinary Records	GRS-PER-13-2016	Employee disciplinary documentation, including performance improvement plans. Record copy held by HR, but may also be held locally.	5 years	Destroy	PER3010
Personnel Health Assessment Records	GRS-PER-14-2016	Records documenting employee health assessments necessary for job duties, such as respirator tests	6 years	Destroy	PER4010
Personnel Records	GRS-PER-15-2016	Employee records for faculty and staff, including RPT and evaluations, personnel assignments, changes in employment classification level.	ACT+6 years	Destroy	PER3000
Reappointment, Promotion & Tenure Files	GRS-PER-16-2016	Includes recommendations and supporting documents for all faculty and non-bargaining unit represented adjuncts. May include Dean's letter, Department Head recommendations, Departmental Committee Report, vitae, and letter from Provost.	ACT+6 years	Destroy	PER3000
Search and Hiring Records	GRS-PER-17-2016	Includes instructions to committee, advertising materials, applications, CVs/resumes, hiring paperwork, acceptance letters, performance letters, application evaluation sheets, interview schedules, interview evaluation sheets, letters to	3 years for those not hired; Active + 6 years for those hired	At conclusion of search, the Search Committee chair or hiring coordinator should send all final records to HR, and	PER2000/PER3000

Personnel Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
		applicants, etc. Records for candidate that was selected should go in the employee's personnel file.		should retain remaining records for 3 years.	
Student Worker Timekeeping Forms and Reports	GRS-PER-18-2016	Reports that students file for detailing activities performed, as well as timesheets and schedules	5 years	Destroy	PER6000
Student Worker/ Assistant Personnel Files	GRS-PER-19-2016	Student Employment applications, evaluation forms, student assistant budgets, correspondence, payroll and termination. Record copy held by HR, but may also be held locally.	ACT+6 years	Destroy	PER3000
Training and Development Records	GRS-PER-20-2016	Records related to required staff training and development including conference and seminar attendance, requests, registrations.	ACT+3 years	Destroy	PER5000
Volunteer Records	GRS-PER-21-2016	Files include background checks, recommendations	ACT+6 years	Destroy	PER3000

Publication Records

Records Series	Records Series ID	Series Description	Minimum Retention	Disposition	Authority
Advertising and Marketing	GRS-PUB-01-2016	Advertising, marketing and other promotional materials.	5 years	Transfer to University Archives	MAR1000
Audio and Video recordings	GRS-PUB-02-2016	Audio or video recordings of University-sponsored events and performances. Does not include instructional materials.	5 years or indefinite as needed	Contact University Archives concerning documentation of significant decisions/events. Destroy remainder unless necessary for continued administrative or historical purposes.	PUB6000
Photographs	GRS-PUB-03-2016		3 years or Indefinite as needed	Transfer to University Archives	PUB3000
Press Releases	GRS-PUB-04-2016		3 years or Indefinite as needed	Destroy, send copies of press releases related to significant decisions/events to University Archives	PUB3000
Publications	GRS-PUB-05-2016	May also include newsletters, programs, flyers, brochures, handbooks, catalogs, manuals, and campus calendars. Includes both electronic and paper publications.	5 years or indefinite as needed	Transfer to University Archives	PUB6000
Social Media	GRS-PUB-06-2016	Social media channels associated with the University, and its Colleges, Departments, Programs, Divisions, etc.	3 years or Indefinite as needed	Transfer to University Archives	PUB3000
Website and Webpages	GRS-PUB-07-2016	Official university websites or webpages that contain university records.	5 years or indefinite as needed	Transfer to University Archives	PUB6000