



Records Retention Procedures

Number: ADM-250

Policy Number (if applicable):

Associated Manual(s): IUC's "Records Retention Manual for Public Colleges and Universities in Ohio" 2009

Office of Primary Responsibility: VP of Administration/CFO

Effective Date: November 30, 2017

Purpose:

The purpose of this procedure is to provide for the preservation of Hocking College records or permanent administrative, legal, and historical value for achieving economy and efficiency in the creation, maintenance, use and disposition of these records in accordance with applicable State and Federal regulations. Hocking College has adopted a records retention program consistent with the retention periods developed by the Inter-University Council of Ohio (IUC) and as published in IUC's "Records Retention Manual for Public Colleges and Universities in Ohio" 2009.

Definitions:

1. A "Record" is defined as any document, device, or item, regardless of physical form or characteristic, including an electronic record as defined in section 1306.01 of the Ohio Revised Code, created or received by or coming under the jurisdiction of any public office of the state or its political sub-divisions, which serves to document the organization, functions, policies, decisions, procedures, operations, or other activities of the office.
2. An "Electronic Record" as defined in Section 1306.01 of the Ohio Revised Code is a record created, generated, sent, communicated, received, or stored by electronic means. Chapter 1306 is known as the "Uniform Electronic Transactions Act". Such records are considered part of the records of the College.
3. The "Office of Record" is the department or office responsible for maintaining the official records for the total retention period. This is generally the office in which they were originally created.
4. The "Records Retention Committee" is a committee of Records Liaisons chaired by the Coordinator for Records Management. The committee shall meet regularly as necessary to facilitate the compliance with the Records Retention and Disposal Policy.

5. The “Records Inventory” is a repository of the records of the College, which may include types, retention schedule, and office of responsibility, dates, and other pertinent information.
6. The “Records Inventory Form” is a document that contains the information regarding the records of the organization. This form is completed by the records liaisons and subsequently saved in the Records Inventory.
7. “Category of Records”:
 - a. Administrative Purpose is defined as records that are created to help accomplish the functions for which an office is responsible and have administrative value as long as they assist the office in performing current or future activity.
 - b. Legal Purpose is defined as records having legal value if they contain evidence of legally enforceable rights or obligations of the College, or constitute items to fulfill legal requirements. Examples of these are records that provide the basis for action such as leases; deeds; contracts; and, records of action in particular cases, such as claim papers and legal dockets.
 - c. Fiscal Purpose is defined as records that pertain to financial transactions such as budgets, ledgers, payrolls, and vouchers.
 - d. Historical Purpose is defined as records that document past events, such as the College’s origins and activities, could have historical value, and should be reviewed for permanent retention.

Procedures:

A. Authority

The Ohio Revised Code 149.33(B) empowers state-supported institutions of higher education to run their own records management programs stating, "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."

All College department supervisors must familiarize themselves with the General Schedule, and have an understanding of what records (paper-based and electronic) they create and/or receive and are required to manage. Departments must conduct an inventory of their records and map them to the General Schedule.

B. Disposition of Records in the General Retention Schedule

Records should be discarded according to the recommended retention periods of the IUC. When such records are disposed, preparation of a Certificate of Records Disposal form is not required. If the College faculty and staff have questions regarding the appraisal and disposition of records not listed in the General Retention Schedule, they should contact the Office of Administration/CFO.

C. Destruction of College Records

Records listed in departmental records retention schedules may be destroyed only after the expiration of the assigned period of retention and completion of a Certificate of Records Disposal Form. Forms may be obtained online or from the Office of Administration/CFO. No College records can be destroyed except upon the prior written approval of the Department Head.

D. Records Retention Policy for Employees Separating from the College

All employees separating from the College shall leave all College files and work products (physical or electronic) with their supervisor for review.

C. Vital Records Protection

Vital records are those records that are essential to the daily business of the College without which the College and/or its individual departments could not effectively function.

Vital records document the legal status, assets/liabilities, and operations of the College and if necessary can be used to re-establish the College's ability to conduct business in case of disaster or other disruption of normal activities.

Examples of vital records include:

- Accounts payable/receivable (current)
- Accreditation files
- Business continuity/disaster recovery plans
- Contracts
- Course catalogs
- Deeds
- Financial aid records
- Institutional data
- Insurance policies
- Maps/blueprints
- Personnel files (active)
- Retiree benefit records
- Student Transcripts
- Tax records
- Course Materials (including but not limited to)
 - Syllabus
 - Lesson Plans
 - Power Point Presentations
 - Teaching Materials
 - Videos Assignments
 - And any and all materials used in the delivery of any course.

Each department should identify those records in their care, both paper and electronic, which they cannot operate without and to establish protective measures to ensure the survival of the information contained in these records for as long as they are needed.

The best means by which to protect vital records is through duplication and dispersal. Once an office has identified the vital records in their care, they must ensure that all electronic files are backed up electronically on networked servers.

All vital records, both originals and security back-ups must be stored in a secure environment and provided ample security, (e.g. fireproof cabinets, lockable cabinets, never store in unsupervised areas).