

3356-9-09 Records management.

- (A) Policy statement. In accordance with section 149.33 of the Revised Code, the board of trustees has full responsibility for establishing and administering a records retention program for Youngstown state university (“university”). The board of trustees directs the university to comply with all state and federal laws regarding the creation and disposition of university records.
- (B) Purpose. To ensure compliance with section 149.33 of the Revised Code for the establishment and administration of efficient and economical management methods applied to the creation, utilization, maintenance, retention, preservation, and disposition of the university’s records .
- (C) Scope. This policy applies to all records of the university, both public and exempt, that are maintained and disposed in accordance with the university’s [records retention schedule](#).
- (D) Definitions (for purposes of this policy).
- (1) “Records” are defined as any document, device or item, regardless of physical form or characteristic (including a record created, generated, sent, communicated or stored by electronic means) 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. Records and their retention and associated retention schedules are numerated in the IUC manual. University records may include, but are not limited to:
- (a) Financial records such as requisitions, purchase orders, invoices, bank data, and ledgers or journals.
- (b) Administrative records such as correspondence, emails, reports, policy statements and related items both sent and received.
- (c) Minutes of all university boards and committee meetings.

- (d) Publications and other items issued by the university.
- (2) “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 of non-records include:

 - (a) 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.
 - (b) Extra copies of documents kept only for reference.
 - (c) Stocks of publications and processed documents.
 - (d) Library or museum materials intended solely for reference or exhibition.
- (3) “Active record” means any records that relate to current business matters and are required to carry out the daily activities of the department.
- (4) “Disposal” means the removal of records from a department or office. It does not necessarily refer to record destruction, but rather, the various processes of records retention, whether offsite storage, conversion, or destruction.
- (5) “Electronic record” means any record that is created, generated, communicated, received, maintained or stored on any electronic medium owned by the university or controlled by the university or a university employee. Examples include, but are not limited to: email, word processing documents and spreadsheets, and databases.
- (6) “Permanent record” means a record that has continued historical or other value to a warrant retention beyond the time they are needed for administrative, legal, or fiscal purposes.

- (7) “Records custodian” means the employee responsible for records retention in their assigned area of university operations.
- (8) “Records retention schedule” is a listing of various types of routine, administrative records maintained by university offices and departments.
- (9) “Transitory records” are records which are needed for a limited time to complete a routine action used in the preparation of final records or are kept as information or convenience copies by offices or individuals who do not have primary responsibility for offices or individuals who do not have primary responsibility for them. Examples are drafts of documents, telephone messages, and emails relating to the scheduling of meetings.
- (10) “Unit leader” is a department chair, office director, or other administrator that directs the regular function of a unit of the university.

(D) Procedures.

- (1) The program shall be directed by the vice president for finance and business operations and administered by the archives and special collections unit of Maag library, which shall have authority to develop administrative procedures and guidelines to implement this rule.
- (2) The university hereby adopts the “Records Retention for Public Colleges and Universities in Ohio: A Manual” (hereafter, the “IUC manual”) as developed by the inter-university council of Ohio, as it may be amended by the university’s administration as its guidelines for the retention of its records. Records and their retention and associated retention schedules are numerated in the IUC manual.
- (3) 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.

- (4) The creation of unnecessary and duplicative records should be avoided. Duplicative records are not official and should not be used to represent official records. Duplicative records should not be retained and should be destroyed as soon as their immediate need has passed.
- (5) University records shall be retained for such period as is required by retention schedules established by the IUC manual and administered by university archives and may be disposed of only in accordance with disposition instructions issued by the university archives.
- (6) Each unit leader is responsible for ensuring that unit records (including electronic records) are maintained in such a way that they can be identified and retrieved on demand.
- (7) Each unit leader shall identify a records custodian to ensure (in conjunction with university archives) that records are maintained in accordance with the university's records retention schedule. Employees other than the records custodian may maintain records so long as the records custodian is aware of the records and is able to retrieve them.
- (8) Each unit shall develop a records inventory that describes the categories of records created and maintained by that unit.
- (9) Records may be maintained in paper or electronic format so long as they may be identified and retrieved by the custodian. Maintenance and disposal of electronic records shall be determined by the content, not the medium. Digitized paper records (e.g., scanned documents) may be kept in lieu of paper records at the discretion of the unit leader and university archives.
- (10) University records shall not be removed or destroyed except in accordance with the university's records retention schedule.
- (11) Detailed administration guidelines for Youngstown state university records retention are found on the [records management](#) website.

(F) Policy violation, removal, destruction, mutilation, alteration, transfer, or other disposition of university records, except as authorized by this policy, is prohibited and may result in disciplinary action.

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