

Wright State University RECORDS RETENTION SCHEDULE (RRS)

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Instructions: This form establishes a schedule of retention and disposal for the listed records series, based on procedures provided by Section 149.333 of the Ohio Revised Code. Offices are required to submit a [Certificate of Records Disposal \(CRD\)](#) to the University Records Manager prior to the disposal of records listed on their retention schedule, as per [Wright State Policy 12220](#). This schedule shall become effective on the last date approved. Obtain approvals and return to the University Records Manager, Special Collections and Archives, 401 Dunbar Library. For assistance, please call ext. 2017, or write to chris.wydman@wright.edu.

Originating Office/Department Code: Financial Operations- Controller **CNTR**
*University Controller/ Accounts Payable and
 General Accounting/ Payroll*

Division: Division of Executive Vice President/
 Chief Operating Officer

- ¹**Medium code:** P=Paper, M=Microfilm/Fiche, E=Machine Readable
²**Value code:** C=Confidential, H- Historical, R=Restricted, V=Vital
³**Description:** A separate retention period is required for each medium in the same records series.

WSU Records Series Number	Medium Code ¹	Value Code ²	Records Series Title and Description ⁵	Retention Rule/ IUC Code	Retention Period
Controller/Admin					
CNTR21-01	E/P	H	<u>Committee Files- Meeting Minutes- Department</u>	ADM9910/ IUC-ADM- 00-05	Retain in the office for three years then review for continuing administrative or historical value and potential transfer to institutional Archives.
CNTR21-02	E/P	H	<u>Organizational Charts-Departmental</u>	ADM3000 IUC-ADM- 00-04	Retain while current plus ten years. Transfer one dated copy of each chart to the University Archives.

Note: Longer term storage may include, but not be restricted to, archives, an institutional records storage center, and conversion to digital formats and/or microfilm or other acceptable mass storage media (per Sec. 9.01 of the Ohio Revised Code).

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Controller/Admin					
CNTR21-03	E/P	C	<p><u>Personnel Files-Department*</u> Staff personnel files. Files can contain position descriptions, applications, letters of appointment or change, personnel data, notice of salary rate, annual contracts, performance evaluations, PERS forms, previous state service forms, reclassification notices, letters of commendation or reprimand, publications, evidence of continuing education, transfers, leave of absence requests, payroll forms, vacation and sick leave reports, resignations, termination notices. Review for continuing administrative value.</p> <p><i>Note: Long-term information is held by Human Resources Office.</i></p>	PER3000 IUC-HR-40-21	Destroy six years after termination. If subject to legal action, retain until final disposition.
CNTR21-04	E/P	C	<p><u>Personnel Files-Employee Selection</u> Vitae, letters, and records of individuals who have applied for staff positions under the Controller.</p>	PER2000 IUC-HR-40-04	Retain for three years, then destroy.
CNTR21-05	E/P	H	<p><u>Policies and Procedures-Departmental</u> Records documenting division approved methods or processes for performing activities to ensure uniformity and compliance with institution and legal requirements. It includes office and job practices, administrative handbooks, and procedure manuals.</p>	ADM9910/ IUC-ADM-00-05	Retain while active plus 10 years, then transfer one dated copy of each version to the University Archives.
CNTR21-06	E/P		<p><u>Proposals-Bids</u> Copies of bid proposals directly affecting the office of the Controller such as quotations for auditing services.</p>	FIN8010 IUC-FIN-20-01	Retain accepted bids while active plus five years; retain rejected bids three years then destroy.

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Controller/ Admin					
CNTR21-07	E/P	H	<u>Reports-Annual</u> Consolidated year-end report of financial situation showing assets and liabilities. Usually broken down by major funding areas, such as academic and student services areas. May include audit report.	FIN7000 IUC-FIN-00-01	Retain for four years, then review for continuing administrative value. Transfer one copy of each report to the Institutional Archives for permanent retention.
CNTR21-08	E/P	H	<u>Reports-State-OBOR</u> Quarterly report submitted to the Ohio Board of Regents. Summarized information sent from the Controller's Office to OBOR.	FIN7010 IUC-FIN-00-02	Retain for four years, then review for continuing historical value and potential transfer to institutional Archives.
CNTR21-09	E/P	H	<u>Reports-Federal-A133</u> <u>Reports on federal grants over \$100,000 required since 1991.</u>	FIN7000 IUC-FIN-00-01	Retain for four years, then review for continuing administrative value. Transfer one copy of each report to the University Archives for permanent retention.
CNTR21-10	E/P	H	<u>Reports-Federal-IPEDS</u> <u>Integrated Postsecondary Education Data System.</u>	FIN7010 IUC-FIN-00-02	Retain for four years, then review for continuing historical value and potential transfer to institutional Archives.
CNTR21-11	E/P		<u>Reports-Federal-Indirect Cost-External</u>	FIN7010 IUC-FIN-00-02	Retain for four years, then review for continuing historical value and potential transfer to institutional Archives.
CNTR21-12	E/P		<u>Reports-Federal-Indirect Cost-Internal</u>	FIN7010 IUC-FIN-00-02	Retain for four years, then review for continuing historical value and potential transfer to institutional Archives.

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Controller/Admin					
CNTR21-13	E/P		<u>Reports-Federal-National Science Foundation-Annual-External</u>	FIN7010 IUC-FIN-00-02	Retain for four years, then review for continuing historical value and potential transfer to institutional Archives.
CNTR21-14	E/P		<u>Reports-Federal-FISAP</u> Fiscal Operations Report required for financial aid programs. Report submitted to the Financial Aid Office that compiles cumulative report.	FIN7010 IUC-FIN-00-02	Retain for four years, then review for continuing historical value and potential transfer to institutional Archives.
CNTR21-15	E/P	H	<u>Subject Files- Executive Vice President/ Chief Operating Officer</u> Includes executive correspondence, reports, minutes, memoranda, policy and informational files.	ADM9910 IUC-ADM-00-01	Retain in the office for three years. Then, review for continuing administrative or historical value. Transfer records of historical value to University Archives.
CNTR21-16	E/P	V	<u>Subject Files- Executive Vice President/ Chief Operating Officer- Agreements/ Contracts</u> Original agreements and amendments between WSU and other institutions and businesses. Records related to obligations under contracts, leases, and other agreements.	LEG2000 IUC-LEG-00-01	Retain while active, plus five years. Review for continuing administrative or historical value*
CNTR21-17	E/P	H	<u>Subject Files- University Controller</u> Includes executive correspondence, reports, minutes, memoranda, policy and informational files.	ADM9910 IUC-ADM-00-01	Retain in the office for three years. Then, review for continuing administrative or historical value. Transfer records of historical value to University Archives.

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Accounts Payable and General Accounting					
CNTR21-18	P/E	V	Accounts Payable Documentation Records related to payment or receipt of financial obligations for goods or services.	ACC1000 IUC-ACC-00-02	Retain for four years, then destroy/delete.
CNTR21-19	P/E	V	Accounts Receivable Documentation Amounts due on open accounts for goods and services rendered.	ACC1000 IUC-ACC-10-01	Retain for four years, then destroy/delete.
CNTR21-20	P/E		Bad Debt Documentation Overdue account payments for services rendered.	FIN6000 IUC-ACC-10-08	Retain while active plus four years, then destroy/delete.
CNTR21-21	E	V	Chart of Accounts Institutional list of the accounts and their identification code.	ACC3000 IUC-ACC-30-01	Retain for four years, then destroy/delete.
CNTR21-22	E		Travel Reimbursement Support Documentation System records and local copies of documentation submitted into Chrome River for employee reimbursement for university related travel.	ACC1000 IUC-ACC-00-11	Documentation maintained locally for quality control purposes. Records on Chrome River to be retained at least four years.
CNTR21-23	P/E		Year-to-Date Disbursements Report of payments made, stored by vendor name/number and purchase order number	ACC3000 IUC-ACC-30-03	Retain for four years, then destroy.
CNTR21-24	P/E		1099 Forms Federal form used to report payments of at least \$10 in royalties and at least \$600 in rents, services, prizes, awards, and for medical and health care.	LEG5000 IUC-HR-50-01	Retain for six years, then destroy.

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Payroll					
CNTR21-25	E	V	<u>Reports-Submitted to PERS/STRS (monthly/annual)</u>	PER1040 IUC-HR-00-06	Retain in the office for six years and then review for administrative value.
CNTR21-26	E		<u>Reports-External</u> Examples include ING annuities and ARP voluntary investment.	FIN3000 IUC-FIN-30-02	Retain in the office for six years and then review for administrative value.
CNTR21-27	P/E		<u>Account Reconciliation Records</u> Duplicate records for double-checking that information correctly remitted entered into Banner	ACC3000 IUC-ACC-30-01	Retain for four years and then destroy.
CNTR21-28	P/E		<u>Unclaimed Funds Records</u> ➤ Uncashed checks (banks have checks) ➤ Returned W-2	ACC1000 IUC-ACC-00-02	Retain for four years and then destroy.
CNTR21-29	E		<u>Banner- HR/Payroll</u> This system was purchased in 2005 from SCT Sunguard, and implemented in January 2006. It is an integrated university-wide software system that handles all student services as well Financial, HR and Payroll. It is Oracle based and consists of over 50 online screens. Ad hoc reporting is done by the use of SQL or COGNOS.	FIN1000 IUC-ACC-40-01	Retain continually updated.
CNTR21-30	E		<u>Direct Deposit Authorization</u> Payroll form	FIN1000 IUC-FIN-10-01	Scan through Xtender then maintain continually updated in system.
CNTR21-31	P/E		<u>Salary Reallocation Documentation</u> Combination HR/Payroll form. History maintained in HRMS database. Record of university employee reclassification with accompanying job audit reviews, audit appeals, position description questionnaires, correspondence and final decision documentation.	PER3010 IUC-HR-40-36	Retain while active plus five years.

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Payroll					
CNTR21-32	P		<u>Deduction Authorizations</u> Required (child support, IRS levy, garnishments)	LEG5030 IUC-HR-40-41	Retain for five years from last date of employment, then destroy.
CNTR21-33	P/E		<u>Deductions-Involuntary-Tax Remittance Records</u> Includes forms, checks, and back-up documents on federal-, state-, local-, and school district-related taxes.	PER1030 IUC-HR-50-05	Retain for six years and then destroy.
CNTR21-34	P/E		<u>W-2 Forms</u> Federal form reporting salaries, wages, and tips for each employee to the Internal Revenue Service.	LEG5000 IUC-HR-50-03	Retain for six years and then destroy.
CNTR21-35	P/E		<u>W-4 Forms</u> Forms completed by employee showing federal tax withholding exemptions.	PER1030 IUC-HR-50-04	Retain for four years and then destroy. (IRS section 31.6001-2)
CNTR21-36	E		<u>Payroll Checks and Pay Statements</u> Record of payment to employees for services they perform. Includes documentation of staff, work-study student, and non-work-study students	FIN1000 IUC-ACC-40-01	Retain for four years and then destroy.
CNTR21-37	E		<u>Time-keeping Documentation</u> Record of time worked by employees. Must list all necessary details. Note: 29 CFR 516.5 (a)	PER6000 IUC-HR-50-10	Retain for five years and then destroy.
CNTR21-38	P/E		<u>Student PERS/STRS Exemption Forms</u> <i>Note: The office of Career Services maintains these forms during the academic year. Students don't pay into PERS. They do only if they work during the summer months.</i>	PER3000 IUC-HR-40-25	Retain indefinitely.

Note: The I-9 form (Immigration and Naturalization Employment Record) and the personnel action form (PAF) are maintained by the Human Resources department. Please refer to their office records retention schedule.

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