

Wright State University
Boonshoft School of Medicine
GENERAL ADMINISTRATIVE RETENTION SCHEDULE
January 2020

WSU Records Series Number	Medium Code ¹	Records Series Title and Description	IUC Code ²	Retention Period
SMGA19-01 (formerly SMFA02-03)	P/E	<p><u>Accounting and Budget Records</u> Includes duplicate files of:</p> <ul style="list-style-type: none"> a) Overall budget- BSOM (originals filed in Controller's Office) b) Budget- BSOM Departments (originals filed in Controller's Office) c) Budget_ Grant Funded Projects (originals filed with Research & Sponsored Programs). d) Payroll reconciliation documentation e) Internal purchasing transactions 	ADM9900	Retain for the current fiscal year +1 additional year then destroy, except for grant related budget files, which are to be retained for duration of grant + 3 additional years, then destroy.
SMGA19-02 (formerly SMDN15-01)	P/E	<p><u>Accreditation-Undergraduate Program</u> College-level and department-level files documenting accreditation review by the Liaison Committee for Medical Education (LCME) [which is affiliated with the American Medical Association (AMA) and the American Association of Medical Colleges (AAMC)].</p>	ADM3020	Retain until next accreditation review, then evaluate for continuing administrative and historical value. Transfer one copy of the final report from each accreditation cycle to the Dean's Office.
SMGA19-03 (formerly SMFC15-01)	P/E	<p><u>Accreditation-External Reviews-Residency Programs</u> Records documenting accreditation review of residency programs. This series includes documentation on:</p> <ul style="list-style-type: none"> 1) Review of residency programs by the School of Medicine <p>Accreditation review of the School of Medicine as a sponsor of residency programs by the Accreditation Council for Graduate Medical Education (ACGME)</p>	ADM3020	Retain until next accreditation review then review for continuing administrative and historical value.* Transfer one copy of the final report to the University Archives.
SMGA19-04 (formerly SMFA02-01)	P/E	<p><u>Agreements/Contracts</u> Original records related to obligations under contracts, leases, and other agreements between the Boonshoft School of Medicine and hospitals and outside clinical agencies. Includes government contracts, grants, affiliation agreements, and other records required to be kept until government audit (One original filed in General Counsel's Office, and one original copy filed in in BSOM Fiscal Affairs, copies at affiliated hospitals and agencies).</p>	LEG2000	Retain while active plus five (5) years, then review for continuing administrative or historical value. <i>Note: Some of the information may be covered under HIPAA.</i>
SMGA19-05 (formerly NPMD13-01)	P/E	<p><u>Annual Reports – Department</u> Annual report of department/unit, including cumulative information on the activities of all faculty and offices under that department/unit.</p>	ADM9910	Retain in the office for three years, and then send one dated copy to the Archives.
SMGA19-06 (formerly PDMD10-03)	P/E	<p><u>Committee Files – Department</u> Files of departmental committees such as departmental Education, Promotion, and Continuance committees.</p>	ADM9910	Retain in the office for three years. Then, transfer minutes to the University Archives.

SMGA19-07 (formerly SMDN15-02)	P/E	Committee Files—School Level Files of school-level committees including but not limited to: 1) Admissions 2) Bylaws 3) Clerkship and Module Steering Committees 4) Executive Committee 5) Faculty Promotion and Advancement 6) Faculty (General) 7) Faculty Curriculum (includes policies and procedures) 8) Nominating 9) Graduate Medical Education Committee (GMEC) 10) Assessment and Evaluations 11) Student Promotions Committee (SPC)	ADM9910	Retain in the office for three years. Then, transfer committee minutes to the University Archives. Review other documentation for continuing administrative value.
SMGA19-08	P/E	Curricular Program Evaluations Evaluation forms completed about modules, clerkships, and curricular activities within the UME curriculum.	ADM3020	Retain until next accreditation review then review for continuing administrative and historical value.
SMGA19-09 (formerly SMFC09-04)	E	Database – Faculty Fields include general profile of each faculty member (i.e., personal information, contact information, educational background, department, promotion history). <i>Note: Database is of high reference value.</i>	PER3000	Retain continually updated.
SMGA19-10 (formerly SMRA09-03)	P/E	Event Files Files regarding special events organized by the department/office. Includes event planning and event publicity files. Files pertaining to fund-raising events such as: • Academy of Medicine Annual Dinner (maintained with Academy of Medicine administrative files) • Graduation • Match Day (Residency announcement) • One-time events (SOM departments) • Pruett Recognition Ceremony (donor scholarships) • Reunion	ADM9900	Retain for three years. Send select publicity files to University Archives.
SMGA19-11 (formerly SMAD01-03)	P/E	Donor Files—Advancement Files pertaining to SOM donor relations. Includes correspondence, newspaper clippings, and a) proposals on corporate donors, foundations, and individuals and b) fund-raising proposals compiled by the SOM University Development officer for the University Development office. <i>Note: No accounting information in hard copy is held in donor files.</i> <i>Note: see retention schedule for BSOM-Anatomical Gift Program for body donors</i>	ADM9910	Retain in the office indefinitely. Periodically review for continuing administrative or historical value. <i>*Periodically transfer select records to the University Archives.</i>

SMGA19-12 (formerly SMRA09-03)	P/E	<p>Grant files – Awarded Administrative & Financial records Individual files on federal and non-federal grant funded-projects include:</p> <ol style="list-style-type: none"> Administrative (proposal, letter of transmittal of funds, correspondence with funding agency, protocol written by principal investigators, reports, personnel records, etc.) Financial (budget sheets, requisitions, purchase orders, accounting worksheets, etc.) <p>Note: Retention and access requirements—as well as exceptions-- for federal grants outlined in Office of Management and Budget's Uniform Guidance 2 CFR 200</p>	LEG2000	Retain while active plus three years, from the date of submission of the final expenditure report. Then review for historical value.* <i>Example: Annual reports submitted to the agency.</i>
SMGA19-13 (formerly SMRA09-04)	P/E	<p>Grant files-Awarded Research records and data Research records and data produced in the course of a grant-funded project (federal or non-federal) are treated as intellectual property and provided all applicable protections. Following the completion of the project and publication of the project's findings, if the principal investigator or the Office for Research and Sponsored programs deem the project results to have continuing research and/or historical value, they may request select material to be preserved in the University Archives or other appropriate repositories, if consistent with records retention requirements as otherwise defined in the granting agency's agreement with WSU.</p> <p>Note: Retention and access requirements—as well as exceptions—for federal grants outlined in Office of Management and Budget's Uniform Guidance 2 CFR 200</p>	LEG2000	Retain while active plus three years, from the date of submission of the final expenditure report. Then review for historical value.* <i>Examples of records with historical value: Final report submitted to granting agency and other publicly released, published, or patented research results. (ORC par. 149.43 (A) (1)(m), Intellectual Property Records)</i>
SMGA19-14 (formerly MDCH01-04)	P/E	<p>Human Subject Files Administrative records on medical and nonmedical human subjects for research studies. These include petition form, approval and continuing review documents, amendments, surveys, protocols written by principal investigators and related correspondence, as well as meeting minutes and program.</p> <p>Note: Refer to WSU Office of Research and Sponsored Programs (RSP).</p>	LEG2000	Retain while active plus three years after completion of research, then destroy unless otherwise stipulated by granting agency or researcher.
SMGA19-15 (formerly MDCH09-05)	P/E	<p>Human Subject Files Consent forms "Informed Consent" forms signed by human subjects (project participants) and maintained by principal investigators.</p> <p>Note: Refer to WSU Office of Research and Sponsored Programs (RSP).</p>	ADM9900	Retain for five years after completion of research.
SMGA19-16 (formerly SMNS10-03)	P/E	<p>Organizational Charts-Departmental</p>	ADM9910	Retain in the office until superseded. Transfer one dated copy of each chart to the University Archives every three years.
SMGA19-17 (formerly INMD06-07d)	P/E	<p>Personnel Files- Evaluation Forms of Instructors Resident/student evaluations of instructors.</p> <p>Note: The resident evaluations are managed by the Residency/Clerkship Director and/or department chair. The forms are summarized and arranged by year and by specialty.</p>	PER3010	Retain forms until faculty member has left WSU.

<p>SMGA19-18</p> <p>(formerly SMFC15-05b)</p>	<p>P/E</p>	<p>Personnel Files- Faculty Imaged files (WebXtender). Faculty personnel files a) fully affiliated (permanent records at WSU's HR office), b) fully affiliated-annually renewable—either funded by grant or annually renewable contract (permanent records at WSU's HR office), c) fully-affiliated-institutional--on hospital payroll, d) fully affiliated-research—focused on scholarship (permanent records at WSU's HR office), and e) partially affiliated—voluntary. Note: Long-term information is held by Human Resources Office.</p> <p>Items are saved in the following categories: <u>Action Letter:</u> Letters informing the faculty of committee action such as appointment, continuance, promotion, change in affiliation status, emeritus. <u>Agreement/Offer:</u> 1) Letter offering the position. The faculty member signs and returns letter that is considered the contract until one is signed in Human Resources. 2) Any special contracts for annually renewable faculty. Committee Agenda: Copy of Faculty Development Committee minutes for Executive Committee approval or copy of Executive Committee Agenda (personnel actions) <u>Continuance:</u> Authorization sheet signed by departmental chair for faculty continuance <u>Curriculum Vitae:</u> Only pages that contain educational training, board certification, licensing are scanned into the file. Departments are expected to keep complete updated copies of their faculty CVs. <u>Supporting Documentation:</u> Any letters of recommendation, requests or other material considered pertinent to the faculty member. <u>Offer Letter:</u> Letter sent by Faculty & Clinical Affairs to welcome faculty (In older files. No longer used). <u>Request Letter:</u> Letters from departmental chair, military commander, flight chief recommending appointment, promotion, or termination for faculty <u>SPO:</u> Status of Position Offered form.</p> <p><i>Items are stored chronologically with the most recent item as the first page.(Effective June 2014, SPO is electronic and not in imaged files.)</i></p>	<p>PER3000</p>	<p>Retain permanently. Transfer to the University Archives when of no further administrative value.</p>
<p>SMGA19-19</p> <p>(formerly SMFC15-06)</p>	<p>P/E</p>	<p>Personnel Files – Promotion-Faculty Include “continuance” reviews and pertinent correspondence and student evaluation forms.</p>	<p>PER3010</p>	<p>Retain for five years, then destroy.</p>
<p>SMGA19-20</p> <p>(formerly SMDN15-06)</p>	<p>P/E</p>	<p>Personnel Files – Faculty Search Vitae, letters, records of individuals who have applied for positions in the Boonshoft School of Medicine.</p>	<p>PER2000</p>	<p>Retain for three years, then destroy.</p>
<p>SMGA19-21</p> <p>(formerly PDMD10-07)</p>	<p>P/E</p>	<p>Primary Job Responsibilities – Department Procedural records documenting methods or processes for performing job responsibilities and activities to ensure uniformity and compliance with institution and legal requirements.</p>	<p>ADM3000</p>	<p>Retain current version of job responsibilities manual until superseded.</p>
<p>SMAD19-22</p> <p>(formerly SMFC09-10)</p>	<p>P/E</p>	<p>Publications—Department/School Level Publications such as brochures, newsletters and other material produced by the department describing its programs and special events.</p>	<p>PUB6000</p>	<p>Transfer one copy of each publication to the Archives annually.</p>