

# 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 Way Policy 2501](#). 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](mailto:chris.wydman@wright.edu).

**Originating Office/Department Code:** Surgery **SGMD**  
**Department of**  
(Anesthesiology/Otolaryngology/Ophthalmology/  
Cardio-Thoracic)

**Division:** Boonshoft School of Medicine Date:  
Approvals

**Dean/Director/Head:** \_\_\_\_\_

**Department Chairperson/Manager:** \_\_\_\_\_

**University Records Manager:** \_\_\_\_\_

**Head, Special Collections & Archives:** \_\_\_\_\_

<sup>1</sup>**Medium code:** P=Paper, M=Microfilm/Fiche, E=Machine Readable

<sup>2</sup>**Value code:** C=Confidential, H=Historical, R=Restricted, V=Vital

<sup>3</sup>**Description:** A separate retention period is required for each medium in the same records series.

WSU Records Series Number	Medium Code <sup>1</sup>	Value Code <sup>2</sup>	Records Series Title and Description <sup>5</sup>	IUC Number	Retention Period
GS01, 05, 14, 28, 29, 30, 33, 35, 36 and 37.	P/E		<b>Budget Files</b> Include information on funds allocated to the department of Surgery by the WSU School of Medicine.		For retention requirements on duplicate WSU School of Medicine records and other WSU business records, refer to the General Retention Schedule series GS01, 05, 14, 28, 29, 30, 33, 35, 36, and 37.
SGMD02-01	P/E	H	<b>Committee Files-Department</b> Files of departmental committees such as the Residents Evaluation Committee and Executive Committee.	ADM9910	Retain in the office for three years. Then, transfer minutes to the University Archives.

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SGMD02-02	P/E		<p><b><u>Grant files-Awarded Administrative &amp; Financial records</u></b>            Individual files on federal and non-federal grant funded-projects include:</p> <ol style="list-style-type: none"> <li>Administrative (proposal, letter of transmittal of funds, correspondence with funding agency, protocol written by principal investigators, reports, personnel records, etc.)</li> <li>Financial (budget sheets, requisitions, purchase orders, accounting worksheets, etc.)</li> </ol> <p><i>Note: Retention and access requirements—as well as exceptions-- for federal grants outlined in Office of Management and Budget's Circular No A-110, section.53.</i></p>	LEG2000	Retain while active plus five 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>
SGMD01-03	P	C/H	<p><b><u>Grant files-Awarded Research records and data</u></b>            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><i>Note: Retention and access requirements—as well as exceptions—for federal grants outlined in Office of Management and Budget's Circular No A-110, section.53.</i></p>	LEG2000	Retain while active plus five 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>

*The description of series SGMD01-02 and -03 is identical to the one appearing on the records retention schedule for the office of WSU's Research and Sponsored Programs (RSP). When disposing of grant-related administrative and financial records, check for duplication with the RSP office.*

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SGMD02-04	P	C	<p><b><u>Personnel Files-Department*</u></b>            Chair, faculty and WSU staff personnel files. These include curriculum vitae, performance evaluations, letters of recommendations, correspondence, resumes, copies of contracts, vacation and sick leave information, evaluation by students, and occasional newspaper clippings.</p> <p><i>*Note: Long-term information is held by Human Resources Office.</i></p>	PER3000	Retain while active plus five years. If subject to legal action, retain until final disposition. <b>Transfer material of historic interest such as biographies and newspaper clippings to the University Archives.</b>
SGMD02-05	P/E	H	<p><b><u>Personnel Records-Faculty Activity Reports (fully-affiliated)</u></b>            Records for the academic year and each term listing teaching and advisory assignments, research, administrative duties and public service. Copies of activity report and supporting documentation.</p> <p><i>Note: Official copy held by the office of Dean, School of Medicine. Reporting documentation is returned to department.</i></p>	PER3000	Retain while active, plus five years. Review for continuing administrative value.
SGMD02-06	P	C	<p><b><u>Personnel Files- Student, Resident Evaluation Forms</u></b>            Student/Resident evaluations of professors and their courses.</p> <p><i>Note: The residents evaluations are managed by the residency coordinator while the student evaluations by the clerkship director. The forms are summarized and arranged by year and by specialty.</i></p>	PER3010	Retain while active, plus five years. Review for continuing administrative value OR Retain forms until faculty member has left WSU.

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SGMD02-07	P	C	<b><u>Personnel Files-Residents</u></b> Monthly or bi-monthly evaluation of residents by their supervisors including photocopies of Certificates of Achievement and documentation that the evaluations were discussed with the resident.	PER3000	For records retention refer to the hospital that is the fiscal agent for the residency program.
SGMD02-08	P	C	<b><u>Personnel Files-Employee Search-Department</u></b> Vitae, letters, records of individuals who have applied for positions in the department of Surgery.	PER2000	Retain for three years, then destroy.
SGMD02-09	P	H	<b><u>Publications-Department</u></b> Publications such as brochures, newsletters and other material produced by the department describing its programs and special events.	PUB3000	Transfer one copy of each brochure (dated)/ newsletter to the Archives annually.
SGMD02-10	P/E		<b><u>Reports-Statistical-Residents</u></b>	ADM9910	Retain for five years and then review for continuing administrative value.

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SGMD02-11	P/E	C	<b>Student Files-Non-permanent</b> Records of students in the department of Surgery. Includes records of students who serve on one-month rotation service in the department of Surgery. The records include Clerkship grade forms and exams. The final grades and "Preceptor's Evaluation of the Student" are transferred to the School of Medicine Student Affairs office for permanent retention.	EDU1010	Retain five years after graduation and then destroy. <b>Note:</b> <i>Destruction of records should be performed in a manner that maintains confidentiality as per FERPA.</i>
SGMD01-12	P/E	H	<b>Subject Files- Chairperson's</b> Includes correspondence, reports, minutes, memoranda, policy and informational files as well as historical information on the development of the department.	ADM9910	Retain in the office for three years. Then, review for continuing administrative or historical value. *
SGMD01-13	E	H	<b>Web Page-Department</b> Includes description of <b>academic programs</b> and its <b>activities/events</b> in the department of Surgery.	ADM9900	Retain electronic format on the web until obsolete or superseded. <b>Retain a paper copy</b> of a) each version and b) each version's source code permanently in the University Archives, <b>if information exists in electronic format only.</b>

**Note:** For retention of duplicate WSU records, such as duplicate records of affiliation agreements and records produced during a grant-funded project, see General Retention Schedule.

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