

<b>Name of Policy:</b> <a href="#">Policy on records management and retention</a>		 <p><b>Effective date:</b> February 22, 2021</p> <p><b>Original effective date:</b> January 29, 2009</p>	
<b>Policy Number:</b> 3364-5-05			
<b>Approving Officer:</b> President			
<b>Responsible Agent:</b> University Libraries – Office of Record Management			
<b>Scope:</b> All University of Toledo Campuses			
<input type="checkbox"/>	New policy proposal	<input type="checkbox"/>	Minor/technical revision of existing policy
<input checked="" type="checkbox"/>	Major revision of existing policy	<input type="checkbox"/>	Reaffirmation of existing policy

(A) Policy statement

- (1) In accordance with section 149.33B of the Ohio Revised Code, the board of trustees has full responsibility for establishing and administering a records management program, applying efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposition of records of The University of Toledo.
  
- (2) Pursuant to paragraph (B) (9) of rule 3364-1-07 of the Ohio Administrative Code, the president hereby adopts the "Records Retention for Public Colleges and Universities: A Manual" as developed by the Inter-University Council of Ohio as it may be amended, or superseded by law, as the model for the retention of the University's non-medical records. The president hereby designates University Libraries Office of Records Management as the office and the Records Management Librarian as the officer responsible for administering the University records retention and management program.
  
- (3) Under the Ohio Revised Code 149.011(G), a record is defined as: any document, device, or item regardless of physical form or characteristic, including an electronic record as defined in [R.C. 1306.01] that is created or received by or coming under the jurisdiction of a public office, which documents the organization, functions, policies, decisions, procedures, operations, or other activities of the office. Records not subject to retention requirements include extra copies of original documents or copies for departmental convenience or reference copies that are maintained for no other substantial purpose. Non-records and convenience copies may be destroyed as the need for the documents no longer exists.

- (4) All records are the property of the University of Toledo and may not be removed, destroyed, mutilated, transferred, or otherwise damaged or disposed of, in whole or in part, except as provided by University policy. Outgoing officials and employees must not remove any records that are the property of the University of Toledo.

(B) Purpose of policy

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 records from all campus offices in all formats including electronic.

(D) Procedures for establishing and ensuring compliance (for more information, see the Records Management SharePoint site at

<https://rocketsutoledo.sharepoint.com/sites/recordsmgmt/SitePages/Home.aspx> (UTAD login required)

- (1) Except for medical records, each department head having custody of University records, will designate a records liaison responsible for consulting the Records Management Librarian to establish and ensure compliance with an on-going records retention schedule specific to that office or by using the general schedule created by the Office of Records Management. University records shall be retained for such periods as are required by the retention schedules and may be disposed of only in accordance with disposition instructions issued by University Libraries Office of Records Management. When records are destroyed in accordance with the records schedules, a certificate of records disposal must be filed with University Libraries Office of Records Management.
- (2) Records judged by the University Archivist to have permanent, historical value, shall be transferred to University Archives once inactive. The University Archives is the University's official repository for records of enduring historical value.
- (3) Electronic records are records in machine-readable form. Electronic records that document the organization, functions, policies, decisions, procedures, operations, or other activities of the office must be retained as any other record in accordance with established records retention schedules based on the content of the document. See the Electronic Communications [Policy 3364-65-07](#) for more information about electronic communications.
- (4) Voicemail that documents the organization, functions, policies, decisions,

procedures, operations, or other activities of the office must be retained in accordance with a records retention schedule.

- (5) Text messages that document the organization, functions, policies, decisions, procedures, operations, or other activities of the office must be retained in accordance with a records retention schedule regardless of whether the messages are on publicly issued or privately-owned devices.
- (6) Medical records mean any document or combination of documents (except births and deaths) that pertain to the medical history, diagnosis, prognosis, or medical condition of a patient and are generated and maintained in the process of medical treatment, either as an inpatient or outpatient. Medical records also include records which are transmitted to or received by the University of Toledo Medical Center from another health care provider and used for medical treatment by health care providers at the University of Toledo Medical Center.

Medical records are managed by the Health Information Management Department. Refer to policy 3364-90-16, Medical Record Retention and Destruction: Disposal of Protected Health Information. The Director of Health Information Management is responsible for the enforcement of the retention schedules for medical records.

(E) References

- Ohio Revised Code 149.011G
- Ohio Revised Code 149.33B
- Policy 3364-65-07 (Electronic Communications)
- Policy 3364-90-16 (Medical Record Retention and Destruction: Disposal of Protected Health Information)
- Ohio Administrative Code (3364-1-07)
- University Libraries Records Management Website

<p>Approved by:</p> <p><u>/s/</u> Gregory C. Postel, M.D. Interim President</p> <p><u>February 22, 2021</u> Date</p> <p><i>Review/Revision Completed by:</i></p> <p><i>Records Management Librarian, SLT</i></p>	<p><b>Policies Superseded by This Policy:</b></p> <ul style="list-style-type: none"><li>• <i>01-037 Records management and retention (former Health Science Campus policy, previous review date 07/01/03)</i></li><li>• <i>3360-15-03 Policy on records management (former Main Campus policy, previous effective date November 15, 2004)</i></li></ul> <p><b>Initial effective date:</b> January 29, 2009</p> <p><b>Review/Revision Date:</b> August 1, 2012, February 22, 2021</p> <p><b>Next review date:</b> February 22, 2024</p>
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