


Name of Policy: <u>Policy on records management and retention.</u> Policy Number: 3364-5-05 Approving Officer: President Responsible Agent: University Archivist Scope: All University of Toledo campuses		 Most Recent Review Date: August 1, 2012 Original effective date: January 29, 2009	
<input type="checkbox"/>	New policy proposal	<input type="checkbox"/>	Minor/technical revision of existing policy
<input type="checkbox"/>	Major revision of existing policy	X	Reaffirmation of existing policy

(A) Policy statement

- (1) In accordance with section 149.33 of the Ohio Public Records Act, 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 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Colleges and Universities: A Manual” as developed by the Inter-University Council of Ohio as its may be amended, or superseded by law, as the model for the retention of the University’s non-medical records.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 Archives as the office and the University Archivist as the officer responsible for administering the University records retention and management program.

- (3) Under the Ohio Public Records Act, a record is defined as: any document, device, or item that is: 1) stored on a fixed medium, i.e., paper, computer, film; 2) created, received, or sent under the jurisdiction of a public office, and; 3) 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 this policy. Outgoing officials and employees must not remove any records that are the property of the University of Toledo.

(B) Procedures for establishing and ensuring compliance

- (1) Except for medical records, each vice president or other officer having custody of University records, or designee, is responsible for consulting the University Archivist to establish and ensure compliance with an on-going records retention schedule specific to that office. 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 Archives. When records are destroyed in accordance with a records schedule, a certificate of records disposal must be filed with University Archives.
- (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. Retention of electronic records is in accordance with records retention schedules. Email messages that are transitory and document only casual and routine matters can be deleted at will. Email messages that are not transitory and 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. Retention periods depend on the content of the email.
- (4) Voice mail is generally transitory in nature, and can be deleted at will. However, voice mail 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) Medical records means any document or combination of documents (except births, deaths, and the fact of admission to or discharge from a hospital) 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 governed by "Officers and Committees of the Medical Staff" and "Policies and Procedures of the Medical Staff."

The Director of Health Information Management is responsible for the enforcement of the retention schedules for medical records.

<p>Approved by:</p> <p><u>/s/</u> Lloyd A. Jacobs, M.D. President</p> <p><u>July 25, 2012</u> Date</p> <p><i>Review/Revision Completed by:</i> <i>University Archivist</i></p>	<p>Policies Superseded by This Policy:</p> <ul style="list-style-type: none">• <i>01-037 Records Management and Retention (former Health Science Campus policy, previous review date 07/01/03)</i>• <i>3360-15-03 Policy on records management (former Main Campus policy, previous effective date November 15, 2004)</i> <p>Initial effective date: January 29, 2009 Review/Revision Date: August 1, 2012 Next review date: August 1, 2015</p>
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