



Records Retention Schedule Inquiry

...data as of *Monday, July 20, 2009*

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
100-01	820-0415	EXE	General Facility File	Correspondence between the Department and building owner regarding general facility operations. Includes letters from OSHA, Fire Department and other companies. (Paper/Electronic)	Retain 5 years, then destroy.		09/13/2007
100-02	820-0349	EXE	Biography of Director	Biographical data on the current Director. (Paper/Electronic)	In office until obsolete; then to Archives for review of administrative value.		11/19/2002
100-06	820-0687	EXE	Stabilization Reserve Fund & Recon of Ops Documents	Documents on the formation of the stabilization reserve fund, minutes of meeting with board of directors. (Paper/Electronic)	In office 5 years after final audit approval from IRS (RE: tax return); then review by State Archives prior to disposal.		07/01/2005
100-07	820-0604	EXE	Stabilization Reserve Fund Transaction Activity & Expenditure Bank Rec. Statements	Expense reports, invoices, authorizations for expenditures, accounting ledgers, bank records and professional liability underwriting assoc. (Paper/Electronic)	Retain 5 years after creation; then destroy.		09/14/2007; 03/10/2005
100-09	820-0743	EXE	Stabilization Reserve Fund Board Administration Documents	Documents relative to the general administration appointment letters, resignation letters, lists of members, correspondence to board. (Paper/Electronic)	In office 1 year; then review by State Archives prior to disposal.		07/01/2005
100-10	820-0431	EXE	Parking Passes	Parking passes for employees conducting business downtown. (Paper/Electronic)	Retain 1 year, then destroy.		09/13/2007
100-11	820-0685	EXE	Contributor Correspondence	Correspondence received from stabilization reserve fund contributors thru existence of fund. (Paper/Electronic)	In office 1 year; then review by State Archives prior to disposal.		07/01/2005
100-15	820-0432	EXE	Airline Information	Airline policies and procedures, travel memos, frequent flyer numbers, itineraries, ticket log, PNC corporate billing statements and travel brochures. (Paper/Electronic)	Retain 2 years, then destroy.		09/13/2007

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100-22	68200032	EXE	MBE Report	Annual report of money spent on minority business enterprises. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/13/2007
120-01	820-0824	FIS	Delinquent Accounts Certified to Attorney General	Records of unpaid invoices certified to Attorney General's office for collection. Contains confidential information (SSN on unpaid agent invs.). (paper/electronic)	Retain until paid and audited by state and report released, then destroy.		05/14/2009
120-02	820-0825	FIS	Unclaimed Funds Records from Commerce	Records of unclaimed funds submitted to Commerce as money owed to the Ohio Department of Insurance. (paper/electronic)	Retain until audited by state and report released, then destroy.		05/14/2009
120-24	820-0130	FIS	Liability Bond File	Worksheets for determining amount of liability bonds for department and personnel. (Paper/Electronic)	In office 2 years; then destroy.		01/03/2003
120-30	820-0136	FIS	Bad Check File	Used to record receipts or repayment where the original payment was in error, duplicated, or made illegally and the department has been reimbursed. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/14/2007; 01/03/2003
120-35	820-0141	FIS	Securities Quarterly	Listing (by company) of total amount of securities on deposit with the State Treasurer. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		01/07/2008; 01/03/2003
120-37	Pe820-0143	FIS	Securities Company File	Statutory Policyholder Deposits - Listings of Investments Held (certificates of deposits) and related correspondence. (Paper/Electronic)	Retain 3 years, then destroy.		pending revision 01/07/2008; 01/03/2003
120-38	820-0144	FIS	Released Securities	Detailed list of companies whose securities have been released by the State Treasurer. (Paper/Electronic)	In office 5 years; then destroy.		01/03/2003

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120-39	820-0145	FIS	Closed/Inactive Company Securities	Ledger pages of company security deposits and withdrawals; list of final two securities. (Paper/Electronic)	In office until superseded or until audited and report released; then destroy.	Not infrequently companies claim non-receipt of requested securities. This file serves as a backup proof securities were shipped. Questions often arise after company mergers or changes ownership by auditors as they review company records going back 15-20-25 years.	01/03/2003
120-40	820-0146	FIS	Securities Ledger	Chronological listing of securities deposits and withdrawals. (Paper/Electronic)	In office until superseded or until audited and report released; then destroy.		01/03/2003
120-41	Pe820-0147	FIS	Securities Card File	Records of corporate name, address, IRS number, and amount of securities held. (Paper/Electronic)	Once company inactive, retain until audited by state and report released, then destroy.	Reference File. Continually updated as companies deposit securities with the Department . Contains names/addresses of company contact person reference when interest is paid on securities.	pending revision 04/07/2008; 01/03/2003
120-45	Pe820-0252	FIS	Book Entry Legal Deposit/Withdrawal	Forms from insurance companies giving ODI authority to deposit and withdraw securities through book entry means. Form INS2011. (Paper/Electronic)	Retain 5 years after inactive, then destroy.	This record is referred to regularly by the State Auditors office.	pending revision 04/07/2008; 01/03/2003

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120-46	Pe820-0253	FIS	Bank Affidavit	Affidavits of agreement between insureds and bank regarding securities. Form INS2010. (Paper/Electronic)	Once company inactive or change of bank, retain until audited by state and report released, then destroy.	Legal ramifications could occur if affidavits were destroyed while company still active.	pending revision 04/07/2008; 01/07/2008; 01/03/2003
120-47	820-0254	FIS	Hold Notice	Copies of notices sent to banks to hold interest payments on securities. (Paper/Electronic)	In office until superseded; then destroy.		01/03/2003
120-64	820-0117	FIS	Equipment Maintenance Records	Maintenance records from servicemen repairing equipment under a maintenance agreement. (Paper/Electronic)	In office 1 year; then destroy.		01/03/2003
120-67	820-0120	FIS	OAKS Reports	Reports regarding OAKS budget, receiveables/revenues, and payables. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		01/07/2008; 06/22/2005
120-69	820-0122	FIS	Blanket Fidelity Bond	Copies of ODI's documentation on blanket fidelity bonds. (Paper/Electronic)	In office 2 years; then destroy.		01/03/2003
120-79	68200018	FIS	Miscellaneous Expense Reimbursements	OBM7283 Form. Covers reimbursements to employees for infrequent or emergency purchases. (Paper/Electronic)	In office until audited and report released; then destroy.		05/12/2003
120-84	68200043	FIS	Payment Card Reports/Logs	Reports and/or logs to reconcile to OBM credit card usage of staff. (Paper/Electronic)	Retain until audited by state and report released; then destroy.		09/14/2007; 05/12/2003
120-85	68200044	FIS	Deposit/Revenue Reports	Daily and monthly report of deposits made. Includes report listing all checks deposited and which funds were deposited to. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		01/07/2008; 05/12/2003
130-07	820-0749	IT	Forms Standardization Database	Database containing template and style guide for the Department forms. (Paper/Electronic)	In office until superseded; then destroy.		03/14/2003
130-08	820-0272	IT	Long Range Planning File	Plans for implementation of data systems long-range and any other pertinent information pertaining to planned data purchases and installations for the Department. (Paper/Electronic)	In office 5 years; destroy when obsolete.		05/23/1991

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130-10	820-0746	IT	Project Documentation	Information regarding current, on-going and/or completed projects and assignments that documents problems and progress. Includes specifications for division computer projects. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then destroy.		09/10/2007; 03/14/2003
130-13	820-0277	IT	COSMOS Enhancement Request	Program modifications to change COSMOS. (Paper/Electronic)	In office 3 years; then destroy.		03/14/2003
130-14	820-0755	IT	COSMOS System Documentation	Updates and changes in COSMOS. Our COSMOS system enables is to automate nearly all database functions with a single, Web-enabled system. COSMOS eliminated the traditional paper forms used by state insurance agencies by managing information on carriers, agencies, and agent producers in one integrated Oracle database.(Paper/Electronic)	Retain 2 years, then destroy.		03/02/2006
130-15	820-0279	IT	COSMOS Data Statistics	Statistics and summaries of COSMOS related information. (Paper/Electronic)	In office 5 years; then destroy.		03/14/2003
130-16	820-0280	IT	System Complaint File	Complaints from employees, Chiefs, etc. regarding computer system. (Paper/Electronic)	In office 2 years; then destroy.		05/23/1991
130-18	820-0282	IT	Check Processing Database	Database to track check processing and printed reports. (Paper/Electronic)	In office until superseded; then destroy.		03/14/2003
130-20	820-0284	IT	Division Folders	Information regarding different computer folders assigned to each division; memo folders. (Paper/Electronic)	In office until superseded; then destroy.		05/23/1991
130-21	820-0285	IT	Special Reports	Requests for management reports supplied by IT such as billing numbers, reimbursements for labels, etc. These are one-time reports but are referenced frequently for comparative analysis on new projects. (Paper/Electronic)	In office 5 years; then destroy.		05/23/1991
130-22	820-0286	IT	Fireproof Receipts	Copy of proof that "Fireproof" received back-up tapes. (Paper/Electronic)	In office 2 years; then destroy.		03/14/2003
130-26	820-0301	IT	DAS Computer Utilization Reports	Requests for updates to DAS for updates to the License Division database. (Paper/Electronic)	In office 1 year; then destroy.		05/23/1991

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130-27	820-0290	IT	Telephone/Data Service File	Work contracts, proposals, wiring diagrams and other proposed services concerning the telephone/data networks for the Department. (Paper/Electronic)	In office 5 years; then destroy.		05/23/1991
130-31	820-0294	IT	Development Specifications & User Transfer Procedures	Specifications developed by IT and the Agency for outside testing; procedures to send and receive files. (Paper/Electronic)	In office permanently.		05/23/1991
130-34	820-0283	IT	Final Testing Procedures	Testing procedures on licensing database prior to 1987 conversion. (Paper/Electronic)	In office 3 years; then destroy.		09/01/1990
130-37	820-0727	IT	Employee Electronic Documents	Electronic documents of former employees, including emails and all other information created by the employees located on their H drive, downloaded onto a disc. (Electronic)	Retain 2 years from date disc is burned; then destroy.		12/09/2005
140-03	820-0005	P&L	Current & Preceding General Assembly	Proposed and enacted insurance related legislation. (Paper/Electronic)	In office 2 years; then destroy.		06/26/1986
140-06	820-0008	P&L	Legislative Correspondence	Letters to ODI from legislators on behalf of their constituents requesting information or assistance. (Paper/Electronic)	In office 2 years; then destroy.		06/16/2003
140-07	820-0009	P&L	Governor's Correspondence	Department prepared response or correspondence which will be sent under the Governor's signature. (Paper/Electronic)	In office 2 years; then destroy.		06/26/1986
150-04	820-0754	LIC	Incomplete/Withdrawn/Denied License Applications	Incomplete, withdrawn, or denied applications for licensure in Ohio. (Paper/Electronic)	Retain 90 days from time application is considered incomplete, withdrawn, or denied, then destroy.		09/19/07; 10/04/2006
150-13	820-0211	LIC	License Applications/Renewals/Notification of Changes	Applications, renewals, notification of changes, and supporting documents for all license types processed in the License division. Notification of changes include, but not limited to, name changes, CN65s, completion certificates, voluntary surrender, inactivation and reactivation requests. (Paper/Electronic)	Retain 5 years after inactive, then shred/erase.		09/19/07; 11/13/2002
150-24	820-0159	LIC	Exam Grade File	Records of grades received on daily exams. (Paper/Electronic)	Retain 5 years, then shred/erase.		09/19/2007; 05/10/2005

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150-30	820-0164	LIC	PLE Course Schedules/Rosters	All documents related to pre-licensing education course schedules and course rosters. (Paper/Electronic)	Retain 5 years from course completion date, then shred/erase.		09/19/07; 06/24/1997
150-43	820-0509	LIC	PLE Applications/Renewals/Notification of Changes	All documents related to the approval and renewal of PLE, courses/providers/instructors. Includes documents for non-renewal or other changes to approvals. (Paper/Electronic)	Retain 5 years after inactive, then shred/erase.		09/19/2007; 06/24/1997
150-48	820-0514	LIC	PLE Student Course Completion Certificates - Prior to 12/2006	Forms submitted to track and verify pre-licensing education student course completion up to 12/2006. (Paper/Electronic)	Retain 4 years, then destroy.		09/19/07
150-52	68200033	LIC	Appointment/Cancellation Lists	Lists of agents and agencies being appointed or cancelled by company. (Paper/Electronic)	In office until audited and report released; then destroy.		11/13/2002
150-53	18200574	LIC	Applicant Request	Requests from applicants asking how they can obtain foreign licenses (Certification Ltr), to show cancellation of their resident license (Clearance Ltr), and-or a copy of their insurance license (Duplicate Lic). (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/11/07; 10/28/2002
150-61	820-0812	LIC	CE Non-Compliance Administration Files	All documents related to CE (Continuing Education) tracking and administrative actions. (Paper/Electronic)	Retain 5 years after closed, then shred/erase.		09/19/2007; 09/15/2005
170-01	Pe820-0703	CSD	Historical Complaint Tracking Database	Data used to reference information regarding consumer complaints (e.g. company name, complaint reason, coverage, etc.) (Electronic)	Retain 8 years after closed date; then erase.	For reporting purposes, specifically, trend analysis and other internal reporting needs.	pending revision 04/07/2008; 09/29/2005
170-02	18200568	OSH	Complaint Files	Complaints and investigative correspondence related to complaint resolution. (Paper/Electronic)	Retain hard copy until imaged, then shred. Retain image 2 years from closed case date, then erase.		02/26/2008
170-02	18200568	CSD	Complaint Files	Complaints and investigative correspondence related to complaint resolution. (Paper/Electronic)	Retain hard copy until imaged, then shred. Retain image 2 years from closed case date, then erase.		09/11/2007; 07/21/2004

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170-03	pending	CSD	Missing Life/Annuity Request	Notarized request from consumers asking for assistance in locating missing life policies or annuity contracts on the life of a deceased family member (includes copy of certified death certificate). If request is incomplete, notice is sent to requestor for further information. On a monthly basis, completed requests will be transferred to life insurers to search their records for a known policy and to reply to requestor. ODI will serve ONLY as a conduit between the requestor and the Ohio life insurance companies. (Paper/Electronic)	Image hard copy, then shred. Incomplete request: Retain electronic record 30 days after notification to requestor, then erase. Complete request: Retain electronic record 180 days after upload to insurance company, then erase.		06/30/2009
170-06	820-0759	CSD	Speaker Requests	The public requesting a speaker from the agency to speak at their event. (Paper/Electronic)	Retain 6 months; then destroy.		06/01/2007
180-01	820-0048	FRD	Closed Investigations with Criminal Charges	Investigative files closed after a criminal charge has been filed. (Paper/Electronic)	On-site 5 years after all potential litigation is exhausted; then shred.		09/29/2004
180-03	Pe820-0506	FRD	LEADS Records	LEADS (Law Enforcement Automated Data System) equipment, manuals, directives, logs, printouts (criminal histories), certification records and audit reports. CONFIDENTIAL 3901.44 & 149.49(A)(2) (Paper/Electronic)	Retain until no longer of value, then destroy.		pending revision 02/20/2008; 06/22/2005
180-04	820-0822	FRD	Evidence Logs	Any and all records pertaining to the storage of evidence taken into custody. Includes database. (Paper/Electronic)	Retain until no longer of administrative value, then destroy.		04/07/2008
180-05	820-0815	FRD	Imprest Fund Records	Fraud/Enforcement advanced funding records. Includes policies and procedures, check register, bank account information, imprest requests, expenditure records, monthly reconciliation reports, requests for reimbursement, deposit records, bank statements, and quarterly reports. (paper/electronic)	Retain until account is closed by agency and final audit and report released by OBM, then shred/erase.		01/23/2008

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180-06	Pe820-0176	FRD	Fraud & Enforcement Statistical Reports	Statistical reports maintained with regard to allegations of misconduct or fraud committed by an insurance agent, insurance agency, company, consumer, healthcare provider or member of the general public. The reports track the number of complaints received, the specific case types, prosecution data, etc. (Paper/Electronic)	Retain until no longer of value, then destroy.	History of trends and performance.	pending revision 01/23/2008; 03/17/2005
180-07	820-0818	FRD	Fraud/Enforcement Presentations & Manuals	Fraud/Enforcement presentations, handouts, training manuals, and equipment manuals. (Paper/Electronic)	Retain until no longer of use or superseded, then shred/erase.		01/07/2008
180-07	820-0818	ENF	Fraud/Enforcement Presentation & Manuals	Fraud/Enforcement presentations, handouts, training manuals, and equipment manuals. (Paper/Electronic)	Retain until no longer of use or superseded, then shred/erase.		01/07/2008
180-12	820-0264	FRD	Allegations of Misconduct/Fraud	All records and other information obtained by the Superintendent of insurance relating to an allegation of fraud committed by an insurance agent, agency, company, unlicensed entity, consumer, medical provider, or member of the general public. Includes database. CONFIDENTIAL ORC 3901.44 & 149.43(A)(2) (Paper/Electronic)	Retain 20 years, then destroy.	Future reference is needed to see if suspect is establishing a pattern	04/03/2008; 09/10/2007; 03/18/2005
180-23	820-0591	FRD	Closed Investigations without Criminal Charges	Investigative files closed without a criminal charge having been filed. (Paper/Electronic)	In office 1 year after case closed; on-site 4 years; then shred.		06/15/2005
190-01	820-0821	ENF	Closed Investigations WITH Criminal Charges	Investigations that resulted in criminal charges being pursued against an individual or entity. (Paper/Electronic)	Retain 5 years after all potential litigation is exhausted, then shred.		04/07/2008
190-02	Pe820-0100	ENF	Closed Investigations WITHOUT Administrative/Criminal Actions	Closed Enforcement investigative case files where administrative/criminal charges were not pursued. (Paper/Electronic)	Retain 4 years, then shred.		pending revision 04/07/2008; 10/28/2002

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190-03	820-0729	ENF	1033 Files & Consent Waivers	Files containing 1033 applications and supporting documentation submitted by individuals seeking a 1033 waiver to engage in the business of insurance. Consent orders generated by the Superintendent of Insurance. (Paper/Electronic)	Retain 3 years after individual is no longer engaged in the business of insurance or denied a waiver, then destroy.	Must be able to prove individual has the authority to engage in the business of insurance.	02/20/2008; 12/13/2005

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190-04	820-0102	ENF	Closed Investigations with Administrative Action	Closed Enforcement investigative case files resulting in an administrative action. Administrative actions include consent order, "default" order, or order issued after an administrative hearing. (Paper/Electronic)	Retain 10 years, then shred/erase.	Revised Code section 3905.15 provides that a person whose license has been denied, suspended, revoked, or surrendered for cause may request modification of that order, and that the superintendent shall hold a hearing regarding the modification request. It is required that the modification request cannot be made prior to five years from the date of the order imposing the penalty. Most agents and applicants who request modification do so within five years of the time they are permitted to do so, and the enforcement files must be available for the modification hearing.	04/16/2008; 04/04/2005

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190-05	820-0820	ENF	Allegations of Misconduct/Fraud	All records and other information obtained by the Superintendent of insurance relating to an allegation misconduct and/or fraud committed by an insurance agent, agency, company, or an unlicensed individual or entity. Includes database. CONFIDENTIAL ORC 3905.24 & 149.43(A)(2) (Paper/Electronic)	Retain 20 years, then destroy.	Future reference is needed to see if suspect is establishing a pattern.	04/04/2008
200-01	820-0029	OFRS	Domestic/Foreign Annual Statements	Electronic annual financial statements for all Ohio based insurance companies and foreign companies. Includes the signed jurat page and the actuarial certification. (Electronic)	Retain 5 years, then destroy/erase.		12/10/2007; 09/19/2005
200-02	820-0306	OFRS	Acquisition, Merger & Reorganization Filings (Form A)	Filings of acquisitions, mergers or reorganization of domestic stock or mutual insurance companies, health insuring corporations and fraternal benefit societies. (Paper/Electronic)	Retain 5 years from date of approval; then shred/erase.		09/11/2007; 04/19/2006
200-03	820-0030	OFRS	Reports of Examination	Domestic and Foreign reports of examination of the financial statements from insurance companies. (Paper/Electronic)	In office 6 years; then transfer to State Archives.	These companies are financially examined approximately every 5 years and these reports are used to reference past financial history in the exam review process.	07/01/2005
200-04	820-0032	OFRS	Work Papers for Reports	Information gathered during examinations. (Paper/Electronic)	On-Site until superseded; then destroy.	Records are continuously used and replaced as needed for future exams.	03/11/2005
200-05	820-0033	OFRS	Abstract File - Form D	Legal documents regarding insurance companies subject to subpoenas, including by-laws, articles, amendments, application of various forms, copies, certificate's of authority. (Paper/Electronic)	Retain hard copy until imaged; then destroy hard copy. Retain image & review every 5 years, transfer to updated media if needed.	is needed because these companies are subject to litigation for various reasons.	01/29/2004

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200-06	820-0345	OFRS	Domestic Regulatory Analysis Surveillance	Information pertaining to the financial analysis of domestic insurance companies performance or non-performance. Used to monitor financial status of companies doing business in Ohio. (Paper/Electronic)	Current year in office; on-site 5 years; then destroy.		03/29/1999
200-07	820-0346	OFRS	Domestic/Foreign Quarterly Statements	Quarterly financial statements for all Ohio based insurance companies and Foreign companies. Includes the signed jurat page and the actuarial certification. (Paper/Electronic)	Retain hard copy until image; then destroy hard copy. Retain image 10 years; then erase.	Required by 3901.42	09/19/2005
200-08	820-0015	OFRS	Proxy Statements	Disclosure of insurance companies that solicit proxies from stockholders. (Paper/Electronic)	Retain 5 years, then destroy.		04/03/2008; 07/02/1991
200-09	820-0823	OFRS	NAIC Interim Annual Review	NAIC (National Association of Insurance Commissioner) interim annual accreditation evaluation. Evaluating Risk Assessment implementation and compliance with Ohio laws through statutory practices and procedures. (Paper/Electronic)	Retain 10 years, then destroy.	Used for accreditation.	02/03/2009
200-10	820-0218	OFRS	Venture Capital Schedule	Reports of investments which insurance companies make in venture capital firms. (Paper/Electronic)	In office 1 year; then destroy.		03/11/2005
200-16	820-0758	OFRS	Viatical Settlement Provider Applications	Active viatical settlement providers. Plan of operation, biographical affidavits, criminal record checks, financial statements, articles of incorporation, secretary of state registration. Includes disapproved and withdrawn applications. (Paper/Electronic)	Approved Application: Retain hard copy until imaged; then destroy hard copy. Retain image permanently. Denied/Withdrawn Application: Retain hard copy 3 years and until imaged; then destroy hard copy. Retain image permanently.	For litigation and examination purposes.	12/18/08; 06/07/2007
200-18	820-0302	OFRS	Assignment File	Agency assignment forms with dates and locations of audits. (Paper/Electronic)	In office until superseded; then destroy.		03/11/2005
200-20	820-0304	OFRS	Company Reference File	Names, addresses, type of company, type of insurance sold by company, license date, etc. on all active and inactive companies licensed to sell insurance in Ohio. (Paper/Electronic)	Retain 5 years, then destroy.		03/11/2005

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200-21	820-0298	OFRS	Examination Schedule File	Contains cumulative records concerning examination and examination dates for each domestic insurance company. (Paper/Electronic)	In office until imaged, then destroy hard copy. Retain image for review after 5 years, then erase.		01/03/2006
200-22	820-0299	OFRS	Problem Company File	Official letters to foreign companies that were in poor financial condition to cease writing premiums in the state of Ohio until their financial situation improved. (Paper/Electronic)	In office until resolved; then destroy.	ORC 3903.48	01/12/2006
200-23	820-0300	OFRS	Annual Report of Claims & Losses	Information on what insurance companies earned during the past year (even through the company declared an underwriting loss). (Paper/Electronic)	In office 5 years; then destroy.	ORC 3929.301	03/11/2005
200-24	820-0347	OFRS	Consolidated Property & Casualty Annual Statements	Financial statements by all property & casualty insurance companies licensed to do business in Ohio. (Paper/Electronic)	Current year in office; then destroy.		09/15/2005
200-25	820-0342	OFRS	Surplus Lines Statements	Annual and quarterly statements from limited lines companies. (Paper/Electronic)	Approved: In office until March 1 following year. Non-approved: In office until Dec 31 following year; then destroy.		03/11/2005
200-26	820-0414	OFRS	Premium Tax Worksheets	A calculation of premium taxes paid to the Department by insurance companies. Includes fire premiums and other tax documents. (Paper/Electronic)	Retain 3 years, then destroy.	Statue 5725.222 & 5729.102	09/25/2007; 09/15/2005
200-29	820-0564	OFRS	Foreign Regulatory Analysis Surveillance	Contains information pertaining to the financial analysis of foreign insurance company performance or non-performance. Used to monitor financial status of companies doing business in the State of Ohio. (Paper/Electronic)	Current year in office; on-site 3 years; then destroy.		03/15/2005
200-36	820-0600	OFRS	Holding Company Files - Form B/C	Registration and/or reports of insurers authorized to do business in the state of Ohio under the insurance holding company regulatory act. ORC 3901.3.02 Confidential ORC 3901.36 (Paper/Electronic)	Retain 2 years, then destroy.		09/25/2007; 02/10/2006

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200-42	820-0692	OFRS	UCAA Admission Application	Approved/Withdrawn/Denied uniform certificate of authority applications used to admitt companies to do business in Ohio. Includes name changes/mergers/redomestications. (Paper/Electronic)	Approved: Image after approved. Destroy hard copy once imaged. Keep image 1 year, then destroy. Denied: In office until 119 hearing date has passed or hearing officer approves Application to move forward. Withdrawn: Destroy hard copy once imaged. Destroy image after 3 months.		06/07/2007
210-01	820-0089	P&C	P&C Filing Submissions	Rates, rules, policy forms, including supporting documentation, final deposition, and related correspondence to and from admitted insurance companies, rating bureaus, and rating organizations. Also, includes filing authorization list. Filing submission required pursuant to ORC 3935.04 and 3937.03. (Paper/Electronic) JUSTIFICATION: History of Company's filing. Proposed retention period will more closely mirror what products and rates are currently available in the marketplace.	Retain 10 years, then destroy.		02/23/2008; 12/21/2004
210-02	820-0090	P&C	Medical Liability Closed Claims Data	Collection and disclosure of medical liability closed claims data that is provided to the Department pursuant to ORC 3929.302. Data reported by authorized insurer, surplus lines insurer, risk retention group, self-insrer, captive insurer, or any entity that provides medical malpractice insurance with regards to their closed claims. (Paper/Electronic)	Retain 20 years from closed date, then destroy.	Used for trending purposes.	02/23/2008

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210-03	820-0091	P&C	Rating Bureau/Advisory Organization/Rating Organization/Statistical Agents	May include constitution, articles of agreement or certification, bylaws, rules, regulations, list of members/subscribers, name/address to send notices/orders, agreement/statement of qualifications, any amendments and licenses issued by the Department of Insurance. Required pursuant to ORC 3935.06, 3935.10, 3935.12, 3937.05, 3937.09, and 3937.12. (Paper/Electronic)	Retain 1 year after inactive, then destroy.		02/23/2008; 07/01/1992
210-04	820-0092	P&C	Statistics File	Statistical data provided by rating organizations, statistical agents, and insurance companies. (Paper/Electronic)	Retain 5 years, then destroy.		02/23/2008; 01/29/2004
210-13	820-0197	P&C	Surplus Lines Affidavits/Filings	Affidavits from brokers attesting to placement of insureds in non-admitted market prior to 1997. ORC 3905.33. (Paper/Electronic)	Retain 5 years, then destroy.		02/23/2008; 12/21/2004
210-14	820-0198	P&C	Surplus Lines Quarterly/Annual Reports	Reporting of data by surplus lines brokers, agencies, risk retention groups, and risk purchasing groups that use surplus lines companies with respect to business transacted in Ohio per ORC 3905.36, 3960.03, and 3960.09. (Paper/Electronic)	Retain 5 years, then destroy.		02/23/2008; 09/10/2007; 12/21/2004
210-15	820-0199	P&C	Risk Retention/Purchasing Group Registration	Risk retention group and purchasing group registrations to transact the business of liability insurance in the state of Ohio pursuant to ORC 3960.01-3960.07. Includes revisions. (Paper/Electronic)	Retain 1 year after inactive, then destroy.		02/23/2008; 12/15/2004
210-26	820-0557	P&C	Filing Review Workpapers	Analyst workpapers while reviewing the filings submitted by insurance companies, which are used for employee performance audits. (Paper/Electronic)	Retain 1 year, then destroy.		02/23/2008
210-41	820-0728	P&C	Municipality Files	Municipality ordinances and filings that enable insurance companies to secure certificates. (Paper/Electronic)	In office until superseded; then destroy.		12/13/2005
220-01	820-0025	L&H	Transmittal Letters & Policy Forms	Approval letter of policy and rates. Includes policies, certificates, endorsements, riders and applications submitted by companies. (Paper/Electronic)	Retain hard copies until imaged, then destroy hard copy. Retain image permanently.		09/10/2007; 12/15/2003

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
220-03	820-0581	L&H	Annual Credit Insurance Reports	Includes annual reports filed regarding credit insurance and forms and summaries submitted for annual reporting required by compliance rules. (Paper/Electronic)	Retain hard copy until imaged, then destroy hard copy. Retain image permanently.		09/10/2007; 12/21/2004
220-09	820-0206	L&H	Professional Society Designation File	Applications, registrations and course material for insurance education courses. (Paper/Electronic)	In office 5 years; then destroy.		02/19/1997
220-10	820-0207	L&H	Medical/Medical Supplement	Medical supplement forms and ads and company reporting forms and summaries. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then destroy.		09/10/2007; 03/13/1997
220-17	0	L&H	Reserve Valuation/Actuarial Files	Files on each company participating in actuarial reserve. Valuations, checklist, and reports for Financial Regulations. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then destroy.		09/10/2007; 03/11/2003
220-20	68200012	L&H	Illustrations Compliance	Documentation to show proof that the company is in compliance with Ohio licensing laws and education to be licensed to sell insurance in Ohio. (Paper/Electronic)	In office 2 years; off-site 3 years; then destroy.		03/05/2003
230-01		MCD	Independent Review Organization Applications	Active independent review organizations. Biographical affidavits, organizational chart, specialty code list, accreditation/re-accreditation certificate. (Paper/Electronic)	Retain hard copy until imaged; then destroy hard copy. Retain image & review after 5 yrs & transfer to updated media if needed.		12/21/2004
230-06	820-0249	MCD	COA Applications	Active COA's, by-laws, articles & amendments to applications; approval letters. Service area expansion, evidence of coverage, solicitation & rate filings for active HIC's. (Paper/Electronic)	Retain hard copy until imaged, then destroy. Retain image permanently.		09/24/2002
230-21		MCD	Inactive Public Records	Filings for inactive or no longer licensed companies. (Paper/Electronic)	In office 3 years following conclusion of action; off-site 10 years; then destroy.		
230-22		MCD	Open Enrollment	Contains waiver requests, proof of publication notices, open enrollment complaints and correspondence. (Paper/Electronic)	In office 3 years; then destroy.		
250-01	820-0014	LGL	Securities File	Sales prospectus, disclosure and other financial documents of insurance companies that issue/sell stocks. (Paper/Electronic)	In office 2 years; on-site 3 years; then destroy.		07/02/1991

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
250-03	820-0251	LGL	Routine Litigation	Documents pertinent to lawsuits in which the Department is involved in. (Paper/Electronic)	In office 10 years; on-site 10 years; then shred.		12/14/1990
250-05	820-0018	LGL	Insider Trading Reports	Records showing the sale and/or purchase of insurance company securities. R.C. 3901.3(A) (Paper/Electronic)	Retain 5 years, then destroy.		09/10/2007; 06/26/1986
250-10	820-0182	LGL	Hearing Files	Hearing officer reports and recommendations, notices, orders and transcripts. The hearing officer conducts administrative hearings including agent license revocations, Ohio Fair Plan and rule hearings. Includes miscellaneous documents related to the hearing. (Paper/Electronic)	Retain 10 years, then destroy.		09/10/2007; 09/03/1992
250-11	820-0315	LGL	Bulletins	Bulletins issued by the Department of Insurance pertaining to the Department's regarding it's position on industry practices and interpretation of insurance laws, notification of the Department's procedures. (Paper/Electronic)	In office until superseded; then destroy.		04/20/1992
250-23	820-0570	LGL	Record Subpoenas and Responses	Subpoenas served on the Department for records production. May include fee invoicing information. (Paper/Electronic)	In office until audited and audit report released; then destroy.		10/11/2002
250-24	820-0811	LGL	Company Records Production & Inventory Logs	Documents generated by the Department regarding a company in rehabilitation or other companies involving complete records collections for litigation purposes. Includes a detailed list and privilege logs. (Paper/Electronic) [See Attorney General before destroying.]	Retain 1 year after the liquidation estate/case is settled and no pending litigation against the Department exists; then destroy.		09/10/2007; 10/26/2005
250-26	18200583	LGL	Agent Contract Termination Appeals Investigations	Investigations into probable cause for agent contract termination appeal hearing requests pursuant to Sec. 3905.50. (Paper/Electronic) CONFIDENTIAL INFORMATION (SHRED)	In office 2 yrs after the close of investigation or a finding of probable cause w/ transfer to the hearing schedule; then destroy		01/24/2002

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
250-29		LGL	Paper/Electronic Journal	Paper originals and electronic indexing and imaging database containing copies of the official actions (notices, orders, etc.) taken by the Department of Insurance. [Does not include most continuing education (CE) actions regarding agents.] (Paper/Electronic)	In office permanent. ***Contains Vital Information.		12/15/2004
250-34	820-0589	LGL	OIT Consultant Files	OIT project logs, copies of P.O.'s, security audit reports budget, Op's chart, software application documentation, and personnel records. (Paper/Electronic)	On-site 5 years; then destroy.		09/01/2004
250-36	820-0597	LGL	Inspector General Inquiries	Investigations by the Inspector General pertaining to the Department. (Paper/Electronic)	In office 1 year after file closed; if litigation involved, in office until all possible litigation is exhausted; then destroy.		09/30/2004
250-38	820-0601	LGL	Constituent Inquiries	Inquiries from Constituents sent to Legal requiring response, including responses provided. (Paper/Electronic)	In office 2 years from date of completion; then destroy.		11/15/2004
250-41	820-0481	LGL	Forms Design Standards, Lists & Database	Forms standards, lists of current forms, and database to register on intranet. Includes list of form members and copies of forms used by the department. (Paper/Electronic)	Retain until superseded, replaced, or obsolete, then destroy.		09/10/2007; 03/24/2005
280-02	820-0413	OSH	OSHIIP County Activity Files	County information regarding sites and contact persons; activity, training, etc. (Paper/Electronic)	In office until superseded; then destroy.		03/20/1997
280-03	18200600	OSH	Volunteer Tracking Demographics	Lists of change of addresses/status of OSHIIP volunteers. (Paper/Electronic)	In office until superseded; then destroy.		10/29/2002
280-04	18200601	OSH	Training Manuals	Manuals used by OSHIIP trainers. (Paper/Electronic)	In office 2 years; then destroy.		10/29/2002
280-05	18200602	OSH	Biographies	Personal information on regarding the training and background of each trainer. (Paper/Electronic)	In office until superseded; then destroy.		10/29/2002
280-06	18200603	OSH	HMO Termination Lists	List of HMO's that have been terminated. (Paper/Electronic)	In office until superseded; then destroy.		10/29/2002
280-07	18200604	OSH	Scripts	Notes and agendas for scripts used to make information videos. (Paper/Electronic)	In office until superseded; then destroy.		10/29/2002

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
280-08	68200036	OSH	Client Contact List	Training/Counseling forms for volunteers. (Paper/Electronic)	Retain 1 year, until entered into database and verified; then destroy.		10/29/2002
280-09	18200605	OSH	PAM (Public and Media Forms)	Lists of activities, updated every 6 months. Lists show how many publications distributed, how many people spoken to, etc. (Paper/Electronic)	Retain 2 years, then destroy.		03/18/2008; 10/29/2002
280-12	820-0785	OSH	Grant Files	Records pertaining to the SHIP (State Health Insurance Assistance Program) grant. Programmatic and financial records pertaining to the COADC (Council Older Adults of Delaware County) grant. (Paper/Electronic)	Retain 3 years, then shred.	SHIP per 45 C.F.R. SS92.42. COADC per grant application.	09/11/2007
310-01	820-0354	MKD	Prompt Pay Complaints	Provider complaints against third party payers in violation of ORC 3901.38. (Paper/Electronic)	Current & previous year (1 year); then destroy.		02/09/1995
310-02	Pe820-0355	MKD	Examination Reports	Reports on findings which support the workpapers of an insurance exam of a company's compliance. (Paper/Electronic)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 10 years, then destroy.	History of exam regarding company. Need reports for future exams.	revision pending 12/11/2007; 02/09/1995
310-03	820-0356	MKD	Company Files	Info regarding compliance, change of officers and newspaper clippings regarding companies. (Paper/Electronic)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 2 years, then destroy.		12/11/2007; 02/09/1995
310-04	820-0816	MKD	Examination Workpapers	Examiner's workpapers on an insurance exam of a company's compliance. (Electronic)	Retain electronic records 5 years after exam closed, then destroy.	Confidential ORC 3901.48(C)	12/11/2007
310-05	820-0407	MKD	Annual Statement Filings	Annual statement filings returned by insurance companies. (Paper/Electronic)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 5 years, then destroy.		12/11/2007; 02/26/1997
310-06	820-0408	MKD	Penalty Filings	Information filed by insurance companies to inform the Ohio Department of Insurance if the companies have been fined or penalized by other state. Filings required by law. (Paper/Electronic)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 5 years, then destroy.		01/07/2008; 01/19/2007; 02/26/1997
310-10	820-0817	MKD	Company Grievance Reports	Reports filed by companies, licensed in Ohio filed annually, required by the Social Security Act for Medicare Supplements. 3901-1-41(J)(11)(f) (Electronic/Paper)	Retain hard copy until electronic, then destroy hard copy. Retain electronic 5 years, then destroy.		12/11/2007; 10/12/2005

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
320-01	820-0358	HR	Seniority Roster	Roster of the agency's employees listing seniority and credits. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then destroy.		09/10/07; 05/20/2003
320-02	820-0359	HR	Employee Performance Step Date Roster	Employee rating roster including performance evaluation. (Paper/Electronic)	Retain 1 year, then destroy.		09/10/07; 05/20/2003
320-03	820-0814	HR	Direct Deposit Slip	Form completed for employee to receive their paycheck by direct deposit.	Retain for 3 pay periods, then shred.		12/21/2007
320-06	820-0363	HR	Certification Eligibility List	Request for an eligible list from DAS. List of names to consider for certain job openings from the civil service examinations. (Paper/Electronic)	Retain 1 year, then destroy.		09/10/07; 02/06/1997
320-07	820-0809	HR	Longevity Roster	Contains printout of employee's longevity rates as they change. (Paper/Electronic)	Retain 1 year, then destroy.		09/10/07
320-08	820-0365	HR	Report of Intermittent Employees	DAS list of the Department's intermittent employees. (Paper/Electronic)	In office 2 years; then destroy.		02/06/1997
320-11	820-0810	HR	Signature Authorization	Authorizes payment to vendor for goods and services. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/10/07
320-12	820-0448	HR	Collective Bargaining Information	Information and directives regarding collective bargaining issues. (Paper/Electronic)	Retain 15 years, then destroy.	Past contract issues need 15 years to go back. Contract is every 3 years.	09/10/07; 04/21/2005
320-14	820-0371	HR	Internal Complaints	Internal employee complaints. (Paper/Electronic)	In office 2 years after resolved; on-site 3 years; then destroy.		02/06/1997
320-17	820-0374	HR	Personnel Action Report	Quarterly report of personnel actions.(Paper/Electronic)	In office 3 years; on-site 4 years; then destroy.	Senate Bill 99	02/06/1997
320-18	820-0375	HR	Orientation	Scripts, topics, and notes for internal employee orientations. (Paper/Electronic)	In office until superseded; then destroy.		02/06/1997
320-20	820-0573	HR	Security Back-Up	Access Security System back-up. (Electronic)	Retain 2 months, then erase.		09/10/07; 05/19/2005
320-22	820-0574	HR	Security Reports	Access Security System alarm reports and fire alarm reports. (Paper/Electronic)	Retain 2 years, then destroy.		09/10/07; 07/01/2005

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
320-23	820-0416	HR	Security Issues	Proposals to provide for future security measures such as video cameras, ID cards and bar code readers for employees. Such measures would be implemented upon building renovation completion. Includes brochures and other information on equipment requirements. (Paper/Electronic)	Retain 3 years, then destroy		09/10/07; 04/21/2005
320-24	820-0381	HR	Service Pin Report	Report indicating employees due to receive service pins, including notes, emails and memos. (Paper/Electronic)	In office 5 years; then destroy.		05/20/2003
320-25	820-0450	HR	Renovation Project Specifications	Specifications required by the Department and ABSI electrical contractor for the building renovation. (Paper/Electronic)	Retain 2 years after renovation complete, then destroy.		09/10/07; 04/27/2005
320-43	18200558	HR	Overtime Exempt Letters	Letters to DAS, adding employees to exemption list for those not receiving time and a half for overtime. (Paper/Electronic)	In office until superseded; then destroy.		05/21/2003
320-44	820-0617	HR	Sexual Harassment & EEO Training	Notes, emails, policies, and procedures for sexual harassment and EEO (Equal Employment Opportunity) training. (Paper/Electronic)	In office until superseded; then destroy.		01/07/2003
320-45	18200585	HR	Wripac Job Analysis	Analysis of job descriptions within the Department. Includes interviews and rating sheets. (Paper/Electronic)	Retain until superseded or no longer of administrative value, then destroy.		09/10/07; 10/28/2002
320-49	18200612	HR	QSTP Program File	Notes, memos, emails, agendas, and training manuals for QSTP (Quality Services through Partnership) Program. (Paper/Electronic)	In office until superseded; then destroy.		10/28/2002
320-51	18200578	HR	Staffing Report	Weekly report that lists vacant job positions in the department. (Paper/Electronic)	In office until superseded; then destroy.		12/15/2004
320-55	68200028	HR	Employee Health Care Enrollment	Information regarding which plans each employee has enrolled for. (Paper/Electronic)	Retain 7 years after employee termination, then destroy.	Kept in the employee personnel file.	09/10/07; 05/20/2003
400-01	820-0550	ODI	Attendance Records	Copies of timesheets, leave requests, etc. (Paper/Electronic)	Retain 6 months, then destroy. (Originals in HR)		09/11/2007
400-02	820-0694	ODI	Research Files	Notes, memos, and emails for various research projects. (Paper/Electronic)	Retain 1 year, then destroy.		09/11/2007

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
400-03	820-0613	ODI	Goals, Objectives, & Evaluations for Employees	Copies of notes, memos, and emails regarding goals, objectives, and evaluations of employees. (Paper/Electronic)	In office 1 year; then destroy. (Originals in HR)		09/11/2007
400-04	820-0568	ODI	Public Records Requests & Responses	Requests made to the Department by the public for access to, or copies of, the Departments public records. May include fee invoicing information. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/11/2007
400-05	x	ODI	Employee Training/Education	Files regarding employee training, activities, education and department organization. (Paper/Electronic)	Retain 1 year, then destroy.		09/11/2007
400-06	pending	ODI	Department Task Force	Notes, articles, reports, bulletins, and recommendations from a Task Force. (Paper/Electronic)	Retain 5 years, then destroy.		09/11/2007
400-07	820-0385	ODI	Divisional Goals, Objectives, & Accomplishments	Divisional short and long range goals, objectives, and accomplishments. (Paper/Electronic)	Retain 1 year, then destroy.		09/11/2007
400-08	18200559	ODI	CAT Plans	Evacuation plans of the building in the event of an emergency. Includes flu epidemic, disaster recovery, etc. (Paper/Electronic)	Retain until superseded, replaced, or obsolete, then destroy.		09/11/2007
400-09	820-0351	ODI	NAIC Records	This professional organization (National Assoc. of Insurance Commission) monitors all activities of insurance companies nationally, as represented through each state's insurance department. Committee reports and proposed model laws from NAIC. Notes, drafts, emails, proposals, minutes, surveys, etc. (Paper/Electronic)	Retain 2 years, then destroy.		09/11/2007
400-10	18200597	ODI	Survey/Questionnaires	Questionnaires and surveys produced by the agency. Includes notes, memos, and/or emails. (Paper/Electronic)	Retain 1 year, then destroy.		09/11/2007
400-11	820-0201	ODI	Agency Projects	Information regarding projects, drives, and fund raising by the Department. Includes Employee of the Quarter, State/County Fair, etc. (Paper/Electronic)	Retain 2 years, then destroy.		09/11/2007
400-12	18200580	ODI	Travel Itineraries	Notes, memos, emails regarding travel arrangements, airline, hotel and calendars of staff. (Paper/Electronic)	Retain during current administration, then destroy.		09/11/2007

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
400-14	820-0195	ODI	Chief's Administrative File	Assignments, notes, records related to division's day-to-day operations. (Paper/Electronic)	Retain 2 years, then destroy.		09/11/2007
GAR-BLM-01	820-0819	FIS	Lease Records of Lands or Buildings	(Paper/Electronic)	Fulfill the requirements of ORC 117.49. Retain 2 years after expiration of lease, then destroy.		04/21/2008
GAR-BLM-02	820-0772	EXE	Maintenance & Repair of Building	(Paper/Electronic)	Retain 2 years, then destroy.		09/13/2007
GAR-C-01	820-0813	ODI	All Bidding Documents, RFP's, RFQ's or Similar Documents	(Purchasing, construction, personnel services) (Paper/Electronic)	For sale of goods, retain 5 years, then destroy. For services, retain 16 years, then destroy.		01/07/2008
GAR-C-02	820-0622	FIS	Vender Master Input Document	Used to establish descriptive information about a vendor or update previously entered vendor data. (Paper/Electronic)	In office until audited and report released; then destroy.		05/20/2003
GAR-C-03	820-0806	LGL	Contract Encumbrances, Procurements, Complaints to Vendors, & Related Contract Documents	(Paper/Electronic)	For sale of goods, retain 5 years, then destroy. For services, retain 16 years, then destroy.		09/10/2007
GAR-CM-01	820-0165	EXE	Correspondence, Executive	Correspondence of the head of an agency dealing with significant aspects of the administration of their offices. Correspondence includes information concerning agency policies, procedures, program, fiscal and personnel matters. (Paper/Electronic)	Retain 2 years; then transfer to State Archives.		06/01/2007; 06/21/2005
GAR-CM-02	820-0760	ODI	Correspondence, General	Includes internal correspondence (letters, memos); also, correspondence from various individuals, companies, and organizations requesting information pertaining to agency and legal interpretations and other miscellaneous inquiries. This correspondence is informative (it does not attempt to influence agency policy). (Paper/Electronic)	Retain 6 months, then destroy.		09/11/2007

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
GAR-CM-03	820-0771	ODI	Correspondence, Routine	Referral letters, requests for routine information or publications provided to the public by an agency which are answered by standard form letters. (Paper/Electronic)	Retain 6 months, then destroy.		09/11/2007
GAR-CM-04	820-0761	ODI	Lists/Directories	Includes mailing list, directories, rosters, and registers compiled by an agency. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then destroy.		09/11/2007
GAR-CM-05	820-0762	ODI	Transient Documents	Includes telephone messages, post-it-notes, drafts, and other limited documents which serve to convey information of temporary importance in lieu of oral communication. (Paper/Electronic)	Retain until no longer of administrative value; then destroy.		09/11/2007
GAR-LL-02	820-0329	EXE	Legislation	Copies of state and federal legislation of ineterest to an agency. (Paper/Electronic)	Retain until no longer of use, then destroy.		09/14/2007; 06/21/2005
GAR-LL-03	820-0807	LGL	Administrative Rules	Includes worksheets and information used to draft rules, JCARR proceedings, transcripts of public hearings, etc. (Paper/Electronic)	Retain 1 year after rule published, then destroy.		09/10/2007
GAR-LL-04	820-0016	EXE	Claims & Litigation Records	Documents regarding lawsuits the Department of Insurance is involved in. (Paper/Electronic)	Retain 2 years after case is closed and no further appeals can be filed; then destroy. If case is dismissed without prejudice, retain 1 year after statute of limitations runs; then destroy.		07/01/2005
GAR-OES-01	820-0799	IT	Office Equipment Service Request	Used to request installation or modification of any equipment or service provided by telephone, computer, copier companies, etc. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/10/2007
GAR-OES-02	820-0775	FIS	Equipment Inventory & Assignment Sheets	Original computer printout, instructions and work sheets used to complete equipment inventory reports for pagers, laptops, cellular phones, etc. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/14/2007
GAR-OES-04	820-0321	FIS	Direct Purchase Orders, Requisitions & Other Documents Related to Purchase of Goods or Services	Direct Purchase Orders, Requisitions & Other Documents Related to Purchase of Goods or Services. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/15/2007; 05/20/2003

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
GAR-OES-05	68200020	FIS	Intra-State Transfer Vouchers	Authorizes payment to another state agency for goods and/or services received and serves as the basis for disbursing funds. (Paper/Electronic)	In office until audited and report released; then destroy.		06/22/2005
GAR-OES-06	820-0776	FIS	Invoices (Accounts Payable Invoices)	Bill for goods shipped or services rendered. They are matched with purchase orders and receiving reports, and attached to vouchers for payment. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/14/2007
GAR-OES-09	820-0777	FIS	Postal Records, Registered Mail, Insured Mail Logs, & Metered Records	(Paper/Electronic)	Retain 1 year, then destroy.		09/14/2007
GAR-OES-10	820-0778	FIS	Postal Reports, Stamp Requisitions	(Paper/Electronic)	Retain 1 year, then destroy.		09/14/2007
GAR-OES-11	820-0779	FIS	Release for Abandoned Property	Used for the salvage of equipment or property of the State of Ohio. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/14/2007
GAR-OES-12	820-0545	FIS	Print Orders	Form to submit specifications for a printing job to State Printing and to encumber the dollars needed for the job. (Paper/Electronic)	In office until audited and report released; then destroy.		06/22/2005
GAR-PP-01	820-0763	ODI	Directives, Manuals & Handbooks	Publications produced by an agency detailing operations, regulations, and/or procedures of an agency. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then transfer to State Archives for their possible retention or destruction.		09/11/2007
GAR-PP-02	820-0764	ODI	Departmental Policies & Procedures	Includes published reports, unpublished substantive reports and policy studies. (Paper/Electronic)	Retain until superseded, obsolete, or replaced, then transfer to State Archives for their possible retention or destruction.		09/11/2007
GAR-PP-03	820-0612	EXE	Executive Orders and Proclamations	Instructions issued by the Governor as the Chief Executive of State Government (Original on file permanently with Secretary of State). (Paper/Electronic)	In office until superseded; then destroy.		03/10/2005
GAR-PP-04	820-0529	EXE	Management & Operations Reports	Reports created by state agency staff or outside consultants concerning management or operations of a state agency. (Paper/Electronic)	In office until audited and report released; then review by State Archives prior to disposal.		07/01/2005

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
GAR-RPM-01	820-0035	COM	Annual Reports	Also includes other published periodic reports on agency activities. (Paper/Electronic)	Upon publication, fulfill requirements of ORC 149.11. Destroy excess copies when no longer of administrative value.		06/01/2007
GAR-RPM-01	820-0642	OFRS	Annual Reports	Also includes other published periodic reports on agency activities. (Paper/Electronic)	Upon publication, fulfill the requirements of ORC 149.11. Destroy excess copies when no longer of administrative value.		12/14/2004
GAR-RPM-02	820-0757	COM	Publications, State	Printed matter published by state agencies for distribution to the public. (Paper/Electronic)	Upon publication, fulfill the requirements of ORC 149.11. Destroy excess copies when no longer of administrative value.		06/11/2007
GAR-RPM-03	820-0765	ODI	Speeches	Printed or recorded copies of public speeches given by representatives of state agencies. (Paper/Electronic)	Retain until no longer of administrative value, then transfer to State Archives for their possible retention or destruction.		09/11/2007
GAR-RPM-04	820-0732	IT	Newspaper Releases/News Bulletins	Includes news/press releases and bulletins issued by an agency. (Paper/Electronic)	In office until no longer of administrative value; then transfer to State Archives.		
GAR-RPM-04	820-0756	COM	Newspaper Releases/News Bulletins	Includes news/press releases and bulletins issued by an agency. (Paper/Electronic)	In office until no longer of administrative value; then transfer to State Archives.		06/01/2007
GAR-RPM-07	820-0766	ODI	Monthly & Weekly Reports	Documents status of on-going projects and issues; advises supervisors of various events and issues. (Paper/Electronic)	Retain 1 year, then destroy.		09/11/2007
GAR-RPM-08	820-0767	ODI	Minutes of Agency Staff Meetings	Minutes and supporting records documenting internal policy decisions. (Paper/Electronic)	Retain 2 years, then transfer to State Archives for their possible retention or destruction.		09/11/2007
GAR-RPM-09	820-0768	ODI	Minutes of Official Public Meetings	Official minutes, orders, and decisions of a state agency, commission, board, or council. (Paper/Electronic)	Retain 2 years, then transfer to State Archives for their possible retention or destruction.		09/11/2007

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
GAR-RPM-10	820-0787	HR	Visitors' Log	Records documenting the entry and departure of employees and visitors into a State office building and/or after office hours. (Paper/Electronic)	Retain 1 years, then destroy.		09/10/07
GAR-RR-01	820-0534	LGL	Records Retention Schedule	A form used to identify the length of time a record must be retained before final disposition. (Paper/Electronic)	Retain until superseded by a revised retention schedule, or until record series is no longer maintained; then destroy.		03/25/2005
GAR-RR-02	820-0808	LGL	Records Inventory & Analysis Worksheet	Used for conducting an inventory of an agency's record series. Requests vital information to be used in determining the retention period and disposition of a record. (Paper/Electronic)	Retain until superseded by an updated inventory or until record series is no longer created, then destroy.		09/10/2007
GAR-RR-04	820-0526	LGL	Certificate of Records Disposal	Form used to certify the destruction or transfer of records according to an approved records retention schedule. (Paper/Electronic)	In office 2 years; then destroy.		03/25/2005
GAR-VT-02	820-0784	FIS	Travel Expense Report	Used for claiming reimbursement for in-state and out of state travel. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/14/2007; 03/17/2005
GAR-VT-03	820-0780	FIS	Vehicle Operations File	Includes service records, compilation sheets, operation maintenance reports of licensed vehicles, warranty and guaranty statements, operating manual, reports and shop-work orders, accident reports, repair records, milage and usage logs, etc. (Paper/Electronic)	Retain during ownership of vehicle, then destroy.		09/14/2007
GF-BA-07	820-0322	FIS	Controlling Board General Requests	To request Controlling Board approval of emergency expenditures for Capital Improvement Projects, purchases made without competitive selection, and transfer of Capital Improvement Funds. (Paper/Electronic)	Retain 2 years, then destroy.		09/14/2007; 06/13/2005
GF-G-02	820-0640	FIS	Federal Grant Files	All records concerning federal grants to state agencies which document the expenditure and use of federal monies. (Paper/Electronic)	Retain until state and federal audited and report released, then destroy.		09/14/2007; 05/07/2002
GF-M-01	820-0773	EXE	Internal Audit Reports	Audit reports and work papers created by an agency's internal audit unit or similar functioning unit. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/13/2007

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
GF-M-02	820-0781	FIS	Federal or State Audit Reports	Copies of audit reports issued by the Auditor of State or federal government. (Paper/Electronic)	Retain 2 years, then destroy.		09/14/2007
GF-M-04	820-0792	HR	Bond Registers	Name and social security number of employees receiving bonds through payroll deduction. [Confidential] (Paper/Electronic)	Retain 10 years after final call date, then shred.		09/10/07
GF-M-05	68200025	FIS	Petty Cash Records	Petty cash records. (Paper/Electronic)	In office until audited and report released; then destroy.		06/22/2005
GF-M-07	820-0782	FIS	Accounting Entity Description, Accounts Payable Ledger & Accounts Receivable Ledger	(Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/14/2007
GF-M-14	820-0783	FIS	Revenue Receipts & Holding Account Redistribution	Used to deposit and record revenue receipts from any known revenue source and to hold unknown receipts for redistribution. Also used by agencies which have established a departmental holdings fund from which revenue is redistributed or by any agency which receives revenue from an unknown source and deposits it to a fund using the revenue source hold. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/14/2007
GF-WV-01	820-0788	HR	Application, Affidavit & Related Documents for Replacement Warrants Never Received, Lost, Stolen	(Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/10/07
GF-WV-03	820-0789	HR	Request for Stop, Release or Cancellation or Warrant	(Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/10/07
GF-WV-04	820-0066	FIS	Vouchers and Voucher Journals	Authorizes payment to vendor for goods and services. (Paper/Electronic)	Retain until state and federal audited and report released, then destroy.		09/14/2007; 12/03/2002
GF-WV-05	820-0774	EXE	Employee Tuition Reimbursement Records	Log to track tuition from pre-approval stage through reimbursement for employee classes. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/13/2007
GP-M-02	820-0790	HR	Internal Investigations	Employee investigations file. Includes EEO charges and responses. (Paper/Electronic)	Retain 3 years, then shred.		09/10/07

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
GP-M-03	820-0800	IT	Telephone Logs, Bills & Call Records	Listing of long distance calls made by agency personnel for a particular time period. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/10/2007
GP-M-04	820-0791	HR	Financial Disclosure Statement & Joint Legislative & Ethics Commission "JLEC" Statements	(Paper/Electronic)	Retain 2 years, then destroy.		09/10/07
GP-M-06	820-0731	HR	Civil Rights & Title VII Files	Contains complaints and hearing information. (Paper/Electronic)	In office 7 years; then destroy.		08/01/2001
GP-M-08	820-0793	HR	Accident, Health & Safety Records, Incident Reports, OSHA Reports, etc.	Reports, notes, emails, faxes, memos, and agendas regarding accidents and incidents at the department, and health and safety committee meetings. Manuals, CPR classes, and other related health and safety information. Policy and procedures involving security issues. (Paper/Electronic)	Retain 5 years, then destroy.		09/10/07
GP-O-01	820-0794	HR	Organizational Charts	(Paper/Electronic)	Retain until superseded, then destroy. The current chart will be audited by state.		09/10/07
GP-O-02	820-0063	HR	Employee Position Control Roster	List of all positions within an agency by position control number, including both filled and vacant positions. Used for budget and personnel purposes. (Paper/Electronic)	Retain until superseded by a new roster, then destroy, provided audited by state and report released.		09/10/07; 02/06/1997
GP-O-03	18200570	HR	Employee Personnel File	Position descriptions, applications, personnel actions, enrollment info, awards/thank you's, designations certificates, college transcripts, training attendance, acknowledgements, goals, objectives and performance reviews. (Paper/Electronic)	Retain 7 years after employee leaves employment, then transfer to DAS to keep permanently.		08/24/2005
GP-O-04	820-0795	HR	Hiring Materials	Vacancy postings and applications, resumes, civil service applications and interview questions from applicants not hired. (Paper/Electronic)	Retain 7 years after position filled or decision not to fill the position is made, then destroy.		09/10/07

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
GP-O-05	820-0702	HR	Employee FMLA, EAP, Disability & Workers Compensation Records	Contains Family Medical Leave Act, Employee Assistance Program, Disability and Workers Compensation records. (Paper/Electronic)	Retain 7 years after employee separation; then destroy.		11/17/2005
GP-O-06	820-0796	HR	Civil Service Exam Announcements, Cover Sheet Position Descriptions & Position Descriptions	(Paper/Electronic)	Retain until superseded, replaced, or obsolete, then destroy.		09/10/07
GP-O-07	820-0797	HR	Employee Discipline & Grievance Records	(Paper/Electronic)	Retain 7 years after case is closed, then shred.		09/10/07
GP-PAY-01	820-0721	HR	Attendance Records	Timesheets, leave requests, etc. (Paper/Electronic)	Retain until audited by state and report released, then destroy.		09/10/07; 06/29/2005
GP-PAY-02	820-0798	HR	Payroll Warrant Records & Payroll Disbursement Records	(Paper/Electronic)	Retain until audited by state and report released, then shred. If Federal funds are involved, retain according to appropriate Federal schedules.		09/10/07
IT-AS-02	820-0801	IT	Help Desk Telephone Logs & Reports	Records used to document requests for technical assistance and responses to these requests as well as to collect information on the use of computer equipment for program delivery, security, or other purposes. (Paper/Electronic)	Retain until no longer of administrative value, then destroy.		09/10/2007
IT-CS-01	820-0802	IT	Network Usage Reports	Summary reports and other records created to document computer usage for reporting or other purposes. (Paper/Electronic)	Retain until no longer of administrative value to agency, then destroy.		09/10/2007
IT-OP-04	820-0803	IT	Operating System & Hardware Conversion Plans	Records relating to the replacement of equipment or computer operating systems. (Paper/Electronic)	Retain 1 year after successful conversion, then destroy.		09/10/2007
IT-OP-06	820-0804	IT	System Backup Files	Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of a disaster or inadvertent destruction. (Paper/Electronic)	Retain for a minimum of 12 backup cycles, then destroy.		09/10/2007

ODI Sch #	DAS Sch #	Division	Title	Description	Retention Period	Justification	Effective Date
IT-SD-05	820-0805	IT	Data Processing Procurement Files	Records used in the procurement of system hardware and software including request for proposals, proposals, quotations, and bids, benchmark/acceptance testing information, correspondence, duplicate copies of contracts, purchase orders, technical reviews, and vendor information including references and literature on the firm or product line. (Paper/Electronic)	For sale of goods, retain 5 years, then destroy. For services, retain 16 years, then destroy.		09/10/2007