PROCEDURE TITLE:	RECORDS MANAGEMENT, RETENTION & DISPOSAL
PROCEDURE NO.:	5.34:1
RELATED POLICY:	5.34 REV
PAGE NO.:	1 OF 3
RESPONSIBLE ADMINISTRATOR:	RECORDS MANAGER
EFFECTIVE DATE:	10/27/2026
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APPROVED BY:	PRESIDENT

1.0 INTRODUCTION

This procedure applies to Records Management and Retention Policy 5.34. In accordance with this policy, the records management process will be guided by the Inter-University Council Model (viewed on Versatile Retention site), which may be periodically updated, and will be made available on the University's website. The process will similarly be guided by any applicable Federal or State statutes and regulations.

1.1 All University employees who participate in creating, receiving, or maintaining University documents are required to follow the records management policy and procedure.

1.2 The Records Manager is responsible for administration and primary oversight of the University records management system.

1.3 Under the direction of the Records Manager, the Records Custodian(s) from the University's divisions is/are responsible for the inventory and maintenance of the division's official records and those of the departments and offices within the division and is/are the division's contact to the University's Records Manager.

2.0 DEFINITIONS

2.1 University Record. A University record is a document, electronic record, device or item, regardless of physical form or characteristic, which is created or received in the course of University business. The records management system addresses retention of official University records.

2.2 Records Management Worksheet. A worksheet each University department utilizes during the annual inventory and other times to catalogue the official documents generated or received within their respective department. The Records Management Worksheet identifies the record series, retention period, and disposal instructions for each series of records retained.

2.3 Record Series. A group of related records filed and/or used together as a unit and therefore evaluated as a unit for retention and disposition purposes.

2.4 Records Retention Schedule. The Records Retention Schedule is created and maintained by the Records Manager, and it serves as the official list of the University's entire inventoried record holdings, and it identifies record retention periods and disposition instructions.

2.5 Records Management Disposition Form. The Records Management Disposition Form is used by records custodians to request the Records Manager's approval of identified department records that have reached their retention period, as described in the section titled "disposal of University records."

3.0 RECORDS MANAGEMENT INVENTORY AND WORKSHEET

3.1 An annual inventory of University records will be conducted within the departments and offices of each University division. Submission dates will be determined based upon needs and operations of the departments and offices.

3.1.1 Records custodians, with guidance from the Records Manager, are responsible for the records inventory for the divisions and offices within their respective division. The Records Management Worksheet will be used to record the inventory.

3.1.2 The Records Manager is responsible for creating and updating a Records Management Worksheet template.

3.1.2.1 The Records Management Worksheet will identify the following: the names of the records series, descriptions or purposes for each series, retention date(s), and disposition instructions of each series. The IUC Model may be consulted to help record series to new records and to verify retention periods of existing records. When applicable, retention dates will reflect the retention period prescribed by law.

3.1.2.2 Upon completion of the annual inventory, records custodians will submit completed records management worksheets to the Records Manager for preparation or update of the University Records Retention Schedule.

4.0 RECORDS MANAGEMENT SCHEDULE

4.1 The University will maintain an official Records Management Schedule.

4.2 The Records Manager is responsible for maintaining and annually updating the Records Retention Schedule.

4.2.1 The records management worksheets will serve as a guide and/or draft for creating or updating the Records Retention Schedule.

5.0 STORAGE AND PRESERVATION OF UNIVERSITY RECORDS

5.1 The method of storage and preservation of records held indefinitely, including those required to be held for multiple years but not currently in use, will be determined by the Records Manager.

5.2 Records in current use will be stored in a designated area(s) in each division. Records custodians are responsible for designating the storage area(s) within their respective division.

6.0 DISPOSAL OF UNIVERSITY RECORDS

6.1 As noted on the Records Retention Schedule, University records will be archived until their scheduled retention date expires. When a records custodian determines that records within the department have reached or exceeded the retention period, he or she will first obtain written approval, and then arrange for proper disposal of the records.

6.2 A Records Disposition Form must be submitted to the Records Manager for written approval prior to disposal.

6.2.1 The Records Manager is responsible for establishing a Records Disposition Form template.

6.2.2 The Records Manager is responsible for maintaining an accurate record of all records disposal actions.

6.3 The disposal methods, which will be identified on the Records Disposition Form, are as follows:

6.3.1 Destroy: The record does not contain confidential information and a disposal method is at the discretion of the owner.

6.3.2 Destroy-Secured: The record is confidential and must be shredded. Examples of such sensitive records include student identifiable records, payroll records, etc.

6.3.3 Transfer to Storage: The record is required to be kept indefinitely, or the record is of historic value. These records are transferred to designated storage areas.

History
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