

RECORDS the use of space, minimize the cost of record retention, and ensure that records are destroyed. This policy is applicable to every division, department, and office on campus with the exception of the Faculty Affairs Council.

All records created, received, or maintained by University departments during their operations belong to the University and are retained and disposed of according to this policy. University records must be kept until the stated minimum retention period has elapsed.

#### Managing Official University Records

Departments and offices that maintain university records are called "official repositories." These administrative units are responsible for:

- x ensure that these management practices are consistent with the University's policies
- x educate staff within the administrative unit in university record management practices, including protection of official records and their disposal

#### Preserving or Disposing of Official University Records

When the prescribed retention period (see Record Categories) has passed, a determination of whether to preserve or dispose of university records must be made. The University Archivist, who maintains the University's archival records, should be consulted when deciding if records are archival, should be preserved, or should be disposed of (see Appendix B, Archival Record Categories).

## Archival Records

If it is determined that the records are archival, they should be transferred to University Archives located in Room 400 of the Weinberg Memorial Library (x6304). Call the University Archivist to:

1. Review records to be sent to University Archives.
2. Request archival boxes (1 full file drawer = 2 boxes).
3. Request a transfer form.
4. Schedule a time for boxes to be picked up.

## Non-archival Records

If it is determined that it is appropriate to dispose of the records, destroy them in one of the following ways:

1. Recycle nonconfidential paper records.
2. Shred or otherwise render unreadable confidential records.
3. Erase or destroy electronically stored data.

Caution: Electronic records generated and maintained in university information systems or equipment should be periodically reviewed to ensure that these requirements are met. Examples of common electronic records include word processing documents, electronic mail, databases, and websites.

Electronic records must be captured within a reliable record management application. Records must include all essential data and metadata describing the content and structure of the record and the context of creation. Accurate links must be maintained between all related paper and electronic and record elements.

Electronic records must be evaluated by appropriate Information Technology staff to determine retention requirements. Electronic record management applications must provide for automated retention and destruction of electronic records in accordance with disposition schedules.

Data stewards, in consultation with appropriate Information Technology staff, must develop strategies for long-term preservation of electronic records. These strategies must:

- x include provisions for guaranteeing availability and integrity of electronic records through system migration
- x mitigate the risk of data inaccessibility due to hardware obsolescence, storage medium deterioration, or software dependence
- x include appropriate policies and procedures for data backup

Electronic records in jeopardy of permanent, unavoidable access loss should be converted to paper or other human readable format and preserved accordingly.



2. The following types of records generally will be treated as confidential:
  - (a) administrative records of the University for twenty-five years from date of their creation, with certain exceptions, such as those which must be open in conformance with law;
  - (b) records of a sitting administration;
  - (c) records the disclosure of which might expose the University to legal liability.

4. Disposal of Electronic Records, Film, and Tapes

Electronic or machine-readable records containing confidential information require a two-step process for assured, confidential destruction. Deletion of the contents of digital files and emptying of the desktop "trash" or "waste basket" is the first step. It must be kept in mind, however, that reconstruction and restoration of "deleted" files are quite possible in the hands of computer specialists. With regard to records stored on a hard drive it is recommended that commercially available software applications be utilized to remove all data from the storage device. When properly applied, these tools prevent the reconstruction of any data formerly stored on the hard drive. With regard to floppy disks, CD-ROMs and backup tapes it is recommended that these storage devices be physically destroyed.

Film, audio and videotapes containing confidential information should also be physically destroyed, not simply thrown away. It is possible to overwrite audio and videotapes with other, non-confidential sound and images, but if this is done, it is recommended that it be done by an authorized member of the staff in the office of origin.

5. Destruction Record

A destruction record is an inventory describing and documenting those records, in all formats, authorized for destruction, as well as the date, agent, and method of destruction. The destruction record itself should not contain confidential information. It is anticipated that in most cases only one copy of the destruction record will be retained, in the office of origin. The destruction record may be

## APPENDIX A Definition of Terms

**Active Records:** Documents including both written and printed matter, books, drawings, maps, plans, photographs; microfiche, films, sound and video recordings; computerized data on disk or tape; or copies thereof made or received by any academic or administrative office of the University in connection with the transaction of University business, and retained by such office as evidence of the activities of the University or because of the information contained therein.

**Administrative Value:** The usefulness of records in current or future university operations.

**Archival Records:** University records which are inactive and are not required to be retained in the office in which they originate or are received. These records have permanent or enduring legal, fiscal, administrative, research, historical value and therefore should be retained and preserved indefinitely.

**Correspondence:** Any form of written communication sent or received in the course of the business of a department. The term includes letters, memos, notes, faxes, etc.

**Creator:** The person, department, or office that creates, receives, or assembles records.

**Data Steward:** Department head or designee charged with implementation of this policy regarding records of his or her department, program and committee.

**Disposable Records:** University records which have temporary value, and in consequence thereof, may be destroyed after the lapse of a specified period of time, or after the occurrence of some act which renders them valueless.

**Disposition:** The actions to be taken at the end of the active life of a record. Such dispositions may include 1) retain permanently in the office of creation; 2) transfer to inactive storage; 3) transfer to remote storage; 4) transfer to the University Archives; 5) destruction after the legal retention period.

**Fiscal Value:** Required for budget development, financial reporting, or audit purposes.

**Inactive Records:** Records which are no longer used on a regular basis.

**Legal Value:** Contain or constitute evidence of the University's legally enforceable rights and obligations.

**Memorabilia:** Items of historical value such as programs, posters, brochures, clippings, buttons, flags, stickers, etc.

**Official Repository:** The department or office designated as having responsibility for the content and timely destruction of particular types of official university records. Such responsibility is assigned to the data steward

**Research or Historical Value:** Document the purpose, growth, history, services, programs, and character of the campus.

**Retention Period:** The minimum time a record must be kept by law, custom, or the custodians of the record.

**University Archivist:** The individual responsible for 1) designating which official university records are archival; and 2) effecting the transfer of archival records from the office in which they originated or were received to the University Archives such times and in the manner and form prescribed by the Archives and subject to the appropriate retention schedule referenced in this document.

## APPENDIX B Archival Record Categories

Special Collections and the University Archives located in Room 400 in Weinberg Memorial Library (x6341) is the primary repository on campus for records of permanent historical, administrative, and legal value. The following list provides general guidelines of the types of records that the University considers to be archival. Records of this sort should not be discarded or destroyed without consulting the University Archives first. This list is not comprehensive. Additional materials might be candidates for archival storage. The Archives documents the administration and the functions of the University by collecting the records produced by the president, vice presidents, upper level administrators, schools and colleges, departments and programs, research centers, the library, committees, boards, councils and other governance bodies. These records are the primary evidence of The University of Scranton's history and activities and constitute the permanent historical record of the University.

- x Correspondence
- x Constitutions and bylaws
- x Topical/subject files
- x Meeting agendas, minutes, and other committee materials
- x Planning documents
- x Accreditation records
- x Policy and mission statements
- x Reports, summaries and surveys
- x Procedures manuals
- x Publications
- x Promotional and outreach materials
- x Grant and project files
- x Event records

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