

## Records Retention and Disposition Policy

Date Effective:

Issued By: Office of the President

Contact: Office of the President, 814-393-1984

Procedure No.

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Purpose:

Clarion University is committed to effective records retention to preserve its history, meet legal standards, optimize the use of space, minimize the cost of records retention, and ensure that outdated and unneeded transitory records are destroyed. This policy addresses the university's records management practices. The university requires that different types of records be retained for specific periods of time and has designated offices of record for their maintenance. These records must be managed according to procedures that are outlined in this document.

### II. DEFINITIONS

A. Active Record: A record with current administrative use for the unit that generated it. Records remain active for varying numbers of years, depending on the purpose for which they were created.

B. Archival Record: A record that is inactive, not required to be retained in the office in which it originated or was received, and has permanent or historic value. Archival records are retained and preserved indefinitely in the University Archives.

C. Office of Record: The unit designated as having responsibility for retention and timely destruction of particular types of official university records. Such responsibility is assigned to the unit's administrative manager or a designee.

D. Transitory Record: A working document of short-term interest that has no lasting business value.

E. University Archives: This includes permanent retention of official records and reports of the university, its officers and component parts; maps and architectural records; audiovisual materials including still photographs and negatives, motion picture film, oral history interviews, audio and video tapes; and artifacts and ephemera documenting the university's history.

F. 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 at such times and in the manner and form prescribed by the Archives and subject to the appropriate retention and disposition schedules that are outlined in this document.

G. University Record: The original copy of any record. Offices of Record for these records are identified in Appendices A-D of this document.

H. University Records Manager: The appointee of the University President who may also serve as the university's Open Records Officer.

Policy:

#### A. Overview

Clarion University requires consistent treatment of records. Maintenance, retention, and disposal procedures for university records must be followed systematically by staff in designated Offices of Record.

In addition, duplicate or multiple copies of these records retained in locations other than Offices of Record must also be disposed of when they are outdated and no longer useful.

Procedures:

#### 1. Responsibilities for Managing Official University Records

Departments and units that maintain university records are called "Offices of Record." These administrative units are responsible for establishing appropriate record retention management practices. Each unit's administrative manager or a designee must:

- a. implement the unit's and/or office's record management practices;
- b. ensure that these management practices are consistent with this policy;
- c. educate staff within the administrative unit in understanding sound record management practices;
- d. preserve inactive records of historic value, and transfer those records to the University Archives;
- e. ensure that access to confidential files is restricted.  
Long-term restrictions on access to selected archival records should be negotiated at the time of their transfer to the University Archives;
- f. destroy inactive records that have no archival value upon passage of the applicable retention period.

Questions about responsibilities should be directed to the University Records Manager.

## 2. Preserving or Disposing of Official University Records

When the prescribed retention period (See Appendices A-D) for official university records has passed, a determination of whether to preserve or dispose of the documents must be made. To decide if the record is of historic value to the university, consult the University Archivist.

### a. Archival Records

Records that have been determined to be archival may be transferred to University Archives. Contact the University Archivist to:

- i. Review records to be sent to University Archives.
- ii. Schedule appointment with University Archivist for the boxing/packaging of records.
- iii. Request a transfer form.
- iv. Schedule transfer of records to the Archives with the Receiving Office.

### b. Non-archival Records

Records that have been deemed appropriate for disposal may be destroyed in one of the following ways:

- i. Recycle non-confidential paper records.
- ii. Shred or otherwise render unreadable confidential records.
- iii. Erase or destroy electronically stored data.

### c. Electronic Records

Records generated and maintained in university information systems or equipment (including mainframe, mini, and micro computing/storage systems).

All records, including those generated and maintained in university information systems or equipment, should be annually reviewed to ensure that the requirements of the university's Policy on Records Retention and Disposition are met. The University Records Manager will notify responsible persons within Offices of Record of the annual records review to occur in July each year.

### 3. Records Location and Duration

Appendices A-D of this document list the Offices of Record for official university records as well as how long these records must be retained.

Colleges and departments may also retain records to support their internal operations that will be destroyed when outdated or no longer needed. These records are deemed to be Transitory Records.

Record retention periods may be increased by government regulation, judicial or administrative consent order, private or governmental contract, pending litigation or audit requirements. Such modifications supersede the requirements listed in this policy. Suspension of record destruction required by any of these reasons will be accomplished by a notice sent out to affected units by the University President or his/her designee or PASSHE Legal Counsel.

Questions regarding the retention period for any specific document or class of documents not included in Appendices A- D should be addressed to the University Records Manager.

### IV. CONTACTS

Direct any questions about this policy to the appropriate departmental administrative manager.

Permanent Storage of Inactive Records Policy Clarification or Exceptions Records Management.

Center for Computing    814-393-2280  
Services

University Archivist    814-393-1805

University Records    814-393-1984  
Mgr.