



SOP FOR RECORD MANAGEMENT POLICY

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**I. PURPOSE**

The purpose of the Record Management Policy is to promote proper management, retention, preservation, and disposal of records of college operations, In order to ensure efficient current and future operations, MITS shall preserve a historical record, comply with legal obligations, and eliminate outdated and unnecessary records. The policy also provides guidance to individual departments regarding their legal obligations with respect to record retention and disposal.

**II. APPLICATION**

This policy applies to all official records generated in the course of Institute operations. "Official record" means any tangible thing containing recorded information that is created, received, used, recorded, or filed in the course of Institute educational and/or business operations, regardless of format, except for the following categories of documents.

- Records of immediate or transitory value only, such as routing slips, routine letters or memo, telephone messages, notices, or memoranda that give only logistical information such as a change of location for a meeting and "for your information" notes
- Faculty research records and notes
- Duplicate materials and blank forms
- Personal or private documents (including e-mail) neither created nor received in connection with Institute operations
- Magazines and newspapers not published by MITS
- Published reports and other documents produced by entities other than MITS
- Notes, drafts, or working papers once a project is completed, unless they provide more complete information than the final report.

**III. ADMINISTRATION**

**A. Responsibilities of Principal**

The Office of Principal shall be responsible for reviewing and updating this policy on a regular basis to conform to legal standards, and for responding to questions about application of this policy in particular circumstances.

**B. Responsibilities of InstituteArchivist**

MITS archives serves as a repository for non-current official records and other records of the college that have enduring value. The archives preserve

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and makes accessible these records for legal, administrative, and research needs. Some records may be closed for 20 years or longer, depending on the nature of the records, and may only be used by permission. Once official records have met their retention schedule in a department on campus, they will either be disposed of or transferred to the archives for permanent retention. Some permanent records may be held at locations other than the archives, such as in the department in which they were created. The archivist will be responsible for managing the selection and transfer of records to the archives as well as access to and preservation of the records.

C. Responsibilities of Department Heads.

Each department head, holds the following responsibilities under this policy:

- Develop and implement the department’s record management practices to conform to this policy;
- Educate staff within the department to understand and implement this policy;
- Establish the appropriate level of confidentiality and security for specific types of records and ensure that the department maintains that level;
- Ensure the transfer to the archives of any records of historic value and/or documents that are to be maintained permanently;
- Ensure the destruction of inactive records that have no archival value upon passage of the applicable retention period.

IV. OWNERSHIP OF RECORDS

With the exception of records owned by faculty members, employees, or students, official college records are, pursuant to the college’s Intellectual Property Policy, the property of the college and not of the officers, faculty members, or employees who create them or to whom they are entrusted. All members of the community are responsible for maintaining the integrity and security of such records.

V. DISPOSAL OF RECORDS

Certain official records must be retained for a specified time period as dictated in this policy. Once official records have met their retention schedule, they should be disposed of, unless they are of value to the archives. If official records are retained beyond their retention schedule, college resources may be unnecessarily used in managing and storing them.

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Permanent Records. Permanent records are records that have historical, administrative, or research value to the college and will be kept indefinitely. The college archivist assists in the identification and classification of permanent records, and ensures that they are transferred to the archives once they become inactive. Examples of permanent records include meeting minutes, architectural drawings, organization charts, real estate records, endowment agreements, student theses, selected faculty papers, college policies, and photographs of events and buildings.

Duplicate Copies. Most records will eventually have multiple copies in several offices and departments at the college. There is only one "official copy" of any record, and the individual in the office designated by the department chair or director to hold the "official copy" is the official custodian and is responsible for the record's retention and possible classification as an archival record. Copies may be kept as long as they are useful. For example, the Principal's Office is the "official custodian" of academic search files. All other copies of materials related to a search may be destroyed when no longer needed. Office of Principal is responsible for retaining the record for the period required by law or longer if appropriate, and for transferring the record to the Archives, if appropriate. Whenever an office or person is designated as the official custodian of a document (pursuant to the schedule below) all other offices should consult with the official custodian before destroying copies of records that the official custodian is maintaining.

Destruction Methods: Destruction includes:

- Recycling is generally appropriate for all non-confidential paper documents, including public documents of other organizations, magazines, annual reports, newsletters, announcements, and drafts of policies or other memos which are not confidential.
- Shredding, using a cross-cut or strip shredder, should be used for all documents that should not be read by others after they are no longer needed. This is essential for any document containing personal information.
- Suspension of Record Destruction. In the event of a governmental audit, investigation, or pending litigation, record disposal may be suspended at the direction of the Principal. For this purpose, the Principal should be informed of any situation that might give rise to legal action as soon as the situation becomes apparent.
- Document Destruction Record. A Document Destruction Record (DDR), in a form attached as Attachment B, must be completed whenever official records are destroyed pursuant to this policy. The DDR may include categories of documents, rather than individual documents. DDRs shall be maintained in the

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office where the destroyed records were generated.

VI. ELECTRONIC RECORDS.

Many official records are created and maintained in an electronic format. These include documents on a computer hard drive, email and its attachments, and documents that have been scanned and reside on CDs or on other removable storage media. File maintenance of these records requires coordination among the places where they are stored - hard drives on desk tops, laptops, on shared drives (network systems), and on removable storage media.

An electronic file that has permanent value to the college should be retained in the appropriate Master folder on the college's server, rather than on a personal desktop computer, which is not designed for the permanent retention of records. All data on the college's server is backed-up regularly in order to ensure business continuation in the event of a disaster or crisis. Therefore, individual offices only need to retain their copies of electronic records if they are useful for day-to-day business. One notable exception involves special compilations of data that offices or departments may create using data from Power Campus. Because of the way data is preserved or changed over time, it may not always be possible to re-create a compilation of data in the future. Any report created from special compilations, as opposed to merely printing data from the system, should be retained by the office or department creating it as the official copy.

Some offices, academic departments, or units have created electronic data systems by purchasing software to help manage a specific database for research or other purposes. If it is determined that the records created by that database should be maintained for a specific period or should be permanently retained, the maintenance of the software license and the availability of it can be very important. Before purchasing or using specialized software for these purposes, the official custodian should discuss with Information Technology the purchase and any agreement needed in order to back up the data system.

All college faculty and staff entrusted with electronic data must adhere to these practices:

- Appropriately secure data and keep it inaccessible to non-approved users when not in use;
- Use, retain, and dispose of data consistent with this policy for paper copies of records;
- Develop policies for the appropriate and frequent back-up of data systems and their storage in locations that will keep them available in the event of a disaster affecting the original data system;
- Dispose of electronic documents containing private or confidential data properly, which means erasing hard drives and disks so that the data are not

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retrievable.

- Consultation with Information Technology Services staff & System Administration on how to properly erase hard drives is vital before computers are transferred to other users or discarded;
- Treat electronic mail like any other electronic record. Mail that has information that should be retained according to a retention schedule should either be printed and filed as would any other paper record or saved to an archived e-mail file.

**VII. PROTECTION OF VITAL RECORDS**

One part of the college's records management program is the identification and protection of vital records. A record is vital when:

- The re-establishment of an authentic replacement of a lost or unavailable record would be impossible or prohibitively difficult; and
- Permanent loss of the record would abridge, jeopardize, or otherwise have a major negative impact on a significant right of an individual, a significant right or asset of the college, or the performance of an essential function of the college.

**VIII. RETENTION PERIODS**

The Retention Schedule is the most common types of records at the college with a required retention period. Almost every department or office in the college will have records as per the retention schedule.

ACT = while active, employed, or enrolled

PERM = permanent

SOL = Statute of Limitations

V = vital record

\*(Annexure C) Attached

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**VITAL RECORDS MANAGEMENT POLICY**

**I. INTRODUCTION AND DEFINITION OF VITAL RECORDS**

An important part of the college's records management program is the identification and protection of vital records. A record is vital when:

- The replacement of a lost or unavailable record would be impossible or prohibitively difficult; and
- Permanent loss of the record would abridge, jeopardize, or otherwise have a major negative impact on a significant right of an individual, a significant right or asset of the college, or the performance of an essential function of the college.

**II. PURPOSE**

The purpose of this policy is to establish the guidelines for the protection of vital records through:

- A. Establishment of criteria for identification of vital records; and
- B. Selection of secure and economical methods of protection.

Adherence to these guidelines should ensure that vital records of the college are reasonably protected as far as is economically possible from such hazards as fire, flood, and vandalism.

**III. CRITERIA FOR IDENTIFICATION OF VITAL RECORDS**

Three types of college records may be classified as vital:

- A. Records essential to the protection of the rights of individuals;


Examples: current payroll records necessary to pay employees; permanent student transcripts necessary to show completion of course work; employee service records required for protection of tenure and retirement status

- B. Records essential to the protection of the college's rights or assets;

Examples: drawings and specifications required to repair and maintain the college's facilities; records necessary to establish college ownership of buildings, equipment, and land; promissory notes and evidence of other receivables

- C. Records necessary for the execution of the college's contractual obligations and other essential functions.

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Examples: significant contracts; accounts payable records; lease agreements


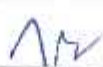
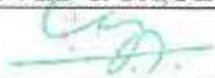
Identification of a particular record as vital is a matter of discretionary judgment that is most effectively exercised by the creators or users of the record, using the criteria in III.A, B and C, above.

Many types of records are of great importance but not of vital importance as defined in this policy. Such records may require much effort and expense to reconstruct if lost, or may have intrinsic historical value. The requirements of this policy do not apply to those important but not vital records, although the standards and methods of protection outlined in this policy may be applied by any department to such records to the degree that the values, risks, and available resources for protection make such protection appropriate.


#### IV. PRE-IDENTIFIED VITAL RECORDS

The following college records have already been determined to be vital. For ease of reference, these records are also annotated in the Record Retention Policy by the symbol (V) after the record listing.

- Student Records
  - Student transcripts and academic records
  - Student disciplinary records resulting in suspension or dismissal
  - Enrollment agreements
  - Patient medical records
- Employee Records (Department of Human Resources)
  - Payroll records
  - Individual employee personnel files
  - Health plan and life insurance enrollment, change and cancellation forms
- Faculty Records (Principal's Office)
  - Faculty personnel and R&D files
- Institutional Records (Principal's Office & Registrar's Office)
  - Managing Trustee records (including Board of Trustees minutes, corporate resolutions, bylaws and articles of incorporation)
  - Deeds
  - Campus building records (including architectural drawings, floor plans, equipment inventory records, improvement records)

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- Endowment records, gift agreements, bequest files
- Financial records (including general ledger, auditors reports, current accounts payable and receivable records)
- Ownership records of vehicles and other major assets
- Promissory notes
- Federal and state required statistics and reports

- Library and Archives holdings

Departments holding original copies of pre-identified vital records have the responsibility to ensure they are protected in accordance with the guidelines outlined in this policy.

This list of pre-identified vital records is not intended to be all-encompassing. Additional vital records may be identified by departments as provided in Section III.

## **V. SELECTION OF METHODS OF PROTECTION**

A. Each department is required to develop a written plan that identifies all vital records maintained by the department and describes how the department protects such records (hereinafter "protection plan"). This plan should be provided to the Records Management Committee Chair according to a schedule to be determined by the Records Management Committee. The following guidelines are provided to assist departments in the development of protection plans for vital records.

The two most important factors guiding the selection of a method of protection for vital records are the level of risk to the record and the cost of the proposed protection method. Departments should take these factors into consideration by evaluating the ratio of the effectiveness of the protection method to the cost of that protection method. Since it is possible to attain no more than relative security, the best choice is the one for which the cost of security is most closely in line with the degree of risk, i.e., the greater the risk to a record, the greater the cost that can be justified in protecting it.

B. Beyond the evaluation of actual risks of loss for vital records, three other factors have a measure of importance in the selection of protection methods:

1. Need for accessibility. Vital records that must be close at hand and available for use at all times may require different methods of protection from those records that are infrequently used.
2. Length of retention. The best methods for protecting vital records of a short-term nature may be different from those methods best for long-term or permanent records.
3. Physical qualities of records. Susceptibility of records to destruction from heat, water, chemicals, and aging varies with both the record medium and the duration of retention.

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Magnetic tape and film often require different protection from that needed for paper documents.

Paper itself varies greatly in its ability to withstand aging.

C. Six methods of records protection are reviewed below. More than one of those methods can be used to protect a given vital record. It is not uncommon to protect the active portion of a series of records through the preservation of existing duplicates while protecting the inactive portion through other means. Methods 5 and 6 should be considered secondary methods of records protection. For instance, if it is not feasible to implement methods 1, 2, 3, or 4 for reasons of economics, methods 5 or 6 should be used to provide at least a minimum level of protection.

1. Preservation of existing duplicate copies at another location. Many records already have a form of "natural protection" because of the regular paperwork routine. For example, legal counsel may retain the original copy of a contract, while another department may retain a copy of the same contract for reference during the life of the contract. If duplicates exist for a vital record series, the preservation of those duplicates is very effective protection. The likelihood of both copies being destroyed at any one time is extremely low. This method is equally effective for long- and short-term retention, durable or fragile records, and high- or low-access requirements.

2. Creation of duplicate copies for preservation at another location. Duplicate "security" copies of many vital record series may be created. For example, copies of major gift agreements may be scanned so that they can be maintained electronically, while the original gift agreement is moved to a safe location either on or off campus. Methods of creating copies range from direct reproduction on copying machines to scanning paper copies into an electronic database. This kind of protection is as effective as the first method described. However, the cost of creating duplicate copies is sometimes relatively high.

3. Preservation of source records that would be used to reconstruct vital records. In many cases, documents that are sources for vital records are held by the college or a vendor. For example, statistical reports prepared for the government may be based on college records that are currently available. If such sources can be identified and agreements made for holding them for the length of time protection is required, this method of protection can be nearly as effective for all situations as the first two. Effectiveness is reduced only slightly because several source document series may be involved, any one of which might be destroyed. The overall cost of this method may be higher than the first method, because larger volumes of source records must be retained for longer periods than would ordinarily be the case. However, the net cost of this method will usually be much less than the cost of creating duplicate security copies.

4. Storage in special equipment such as fire resistant cabinets, safes, or vaults. Original and unique copies of vital records can be protected from most hazards through the use of special storage equipment. While the protection thus obtained is not absolute, its relative

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effectiveness is only slightly lower than the first three methods. However, of all protection methods, the use of special storage equipment is usually the most costly. This method should be considered only when the other methods are physically not feasible.

5. Removal of hazardous conditions from area of storage. By removing unnecessary hazards such as combustible materials and steam or water pipes and by eliminating undesirable conditions such as air-borne chemicals and extremes of heat or humidity, a relative improvement can be achieved in protection of records. Since the effectiveness of this method is low, it should be considered only when other methods are economically unfeasible.

6. Relocation of records to a less hazardous area. Because of differences in construction, some college buildings are less hazardous for records storage than others. The effectiveness of relocation as a method of protection can be equal to or slightly better than that for removal of hazardous conditions. Cost will be equally low or lower. However, when requirements exist for frequent access to the records, this method may not be feasible. If relocation is considered, the college archivist and the director of Facilities Management Services should be consulted to determine the relative safety of various proposed storage areas.

VI. RESPONSIBILITIES

A. Departments and Offices

The individual department is responsible for reviewing its records in relation to the guidelines set forth in this policy, identifying by title those records that are vital, and consulting with legal counsel and other departments, as appropriate, regarding the location of each vital record and the type of protection given to it. Development of a written protection plan, as identified in Section V, is mandatory. In cases where protection is not provided for any vital record, a short explanation should be included in the departmental protection plan.

B. Records Management Coordinators

Each Records Management Coordinator is responsible for coordinating the development of department protection plans in his/her area of responsibility and for reporting the status of the plans' development to the Records Management Committee. Coordinators shall be appointed by the college president and shall serve as a member of the Records Management Committee.

Coordinators shall be appointed for the following areas of responsibility:

- Student Records (Registrar, Financial Aid, Incharge of Student's Office, Career Development Office, Student Activities, Residence Life, Athletics)

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- Employee Records (Department of Human Resources)
- Faculty Records (Principal's Office, Faculty Committees)
- Institutional Records (HO, Principal's Office & Registrar's Office)
- Library and Archives holdings

**C. Records Management Committee**

The Records Management Committee is responsible for the overall management and periodic review of this policy. The Chair of the Committee shall be appointed by the President, and the committee shall be composed of the records management coordinators, together with the College Archivist, the Vice President for Planning and Information Technology, and Legal Counsel. The Committee will prescribe the required frequencies of vital records protection plans, which will be not less than once every five years.

The Committee shall meet regularly to evaluate the sufficiency of protection plans, evaluate the need for resources to assist in the protection of vital records at the college and provide advice to departments in the implementation of this policy. The Committee shall also report regularly to the Risk Management Committee.

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**Annexure A**

**Special Collections & Archives**

**Guide to Transferring Materials to the College Archives**

MITS Archives is the college's official repository for all historically valuable non-current records generated and received by college offices and employees during the course of official college business. Permanently valuable historical records document the growth and development of the college, including its physical plant and grounds, curriculum and research, relationship with the local community, and the activities of its student body, faculty, and alumnae/i. Current or active records are documents that must be consulted frequently or accessed immediately for legal, operational, or administrative policy purposes. Some of these will eventually come to the archives; others will be destroyed.

Please see MITS Records Management Policy that determines the college's official records retention schedule. Once records have met their retention schedule, they will either be disposed of or transferred to the archives for permanent retention. Some records may be closed for 20 years or longer, depending on the nature or the records and may only be used by permission.

**I. SELECTING MATERIAL – for College Archives, official records**

The archivist is always available to work with faculty and staff to determine what materials to transfer.


**Types of records to transfer to the archives:**

In general, significant records created in the conduct of college business are appropriate for transfer to the archives. Also, records that chronicle a department's activities are part of the institutional memory and would be helpful to future students and historians. Records that are valuable to understanding the organizational culture, differing points of view, and how decisions were made should also be preserved. Many of these records will be closed for 25 years and only accessible with special permission. Specific records appropriate for the archives include:

- Constitutions and by-laws, minutes and proceedings, transcripts, and lists of officers of the varied official college offices and governing bodies
- Select office files, including incoming and outgoing official correspondence and memoranda and subject files related to projects, activities, functions, and special events
- Annual budgets
- Historical files related to policy and decision-making, committee and task force reports, and surveys
- Manuscripts, lectures, speeches
- Publications: two copies of all newsletters, brochures, journals, handbooks, monographs, programs, posters and announcements issued by the college or its

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departments. The college archives should be on all official mailing lists

- Reports of external groups about the college, including surveys, audits, accreditation reports, and planning documents
- Academic program materials, including curricula, feasibility studies, class schedules, and course syllabi
- Audiovisuals, including photographs, negatives, and transparencies; maps, plans, films, sound and video recordings, microforms and other illustrative media. PLEASE LABEL AND IDENTIFY THESE MATERIALS AS COMPLETELY AS POSSIBLE.
- Records and minutes of campus organizations funded and/or sponsored by the college
- Artifacts and memorabilia of permanent significance to the college's history

**Records that generally are disposed of after their current use:**

- Records of specific financial transactions
- Routine correspondence of transmittal and acknowledgement
- Correspondence not specifically addressed, such as circulars and memoranda, except for one record copy maintained by the generating office
- General administrative and management files
- Student academic and employment records
- Recommendations and other personnel files that were to be destroyed after use; e.g., search committee files on individuals not hired by MITS
- Replies to questionnaires once the results are recorded and published


**II. PERSONAL FACULTY PAPERS— For Special Collections, non-official records**

The college collects the papers of faculty for the Special Collections. These are materials not produced while conducting official college business. The line between institutional and personal records may be difficult to determine, so please contact the archivist with questions.

The Special Collections consist of non-official materials such as rare books, personal papers, manuscript collections, objects, artifacts, institutional/organizational records, and other materials that reflect the history of the college, curriculum, programs, current collection strengths, and the history of Baltimore and Maryland.

**Material of particular interest for Special Collections:**

- Biographical material, including curriculum vitae, resumes, published and unpublished biographical sketches, and memoirs, reminiscences, and wills
- Correspondence: outgoing and incoming letters relating to all facets of one's career, including correspondence with colleagues, publishers, organizations; personal letters to and from friends, relatives, and business associates
- Business or organizational records: agendas, minutes, reports, correspondence, annual reports, charters, articles of incorporation, constitutions, by-laws,

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handbooks, newsletters or other publications, organizational charts, brochures, and press releases

- Published articles and monographs; drafts and manuscripts of articles, papers, books, and speeches, critical works
- Audiovisuals, including photographs, films, and sound and video recordings
- Photographs: prints, negatives, slides
- Typescripts, drafts, and galleys of publications, when they reflect the creative process
- Books, research papers, articles, and reprints written by others unless of direct significance
- Research notes and data, if a summary is not available
- Memorabilia, scrapbooks, diaries, notebooks, journals
- Maps, printed items
- Research files: outlines, research designs, raw data, notes, analyses, and reports of findings

**Records that should not be transferred to the Archives without prior consultation:**

- Detailed financial records, canceled checks, and receipts
- Human resources, payroll, or otherwise confidential material
- Detailed financial records, canceled checks, and bills/receipts
- Grade books and rosters
- Non-personally addressed mail and routine letters of transmittal and acknowledgement
- Junk mail, duplicates, mailing lists, and date books and calendars
- Routine correspondence, including memoranda and letters of transmittal and acknowledgement
- Duplicates and multiple copies of publications
- Artifacts and memorabilia unless of particular significance to the college.

**III. PREPARING MATERIAL**

The following measures are helpful prior to transferring materials. The archivist is available to assist in this process.

**Pack records in boxes.**

- Do not overfill boxes. Use records storage boxes if possible (approx 15 1/2" x 12" x 10 1/2").

**Put documents in folders before packing into boxes. Please do not put loose papers in boxes.**

- Label folders if possible with subjects and dates.
- Remove hanging holders
- If materials are in binders, keep in binders and place in box.

**Box similar materials together--do not mix different kinds of files.**

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- Separate boxes for work done in separate areas/projects. For example, keep records related to work on a faculty committee separate from papers related to work on a city commission.
- Separate boxes for different series or types of material. For example, keep public relations materials separate from general correspondence.
- Keep physical types separate. For example, do not mix videotapes, paper press releases and photographs all together.

**Keep materials in original order**

- When removing items from file drawers, or from shelves, place in box in order as found.

Keeping materials in the order which they were used is helpful for researchers.

**If unorganized, put in logical order.**

- If the files should be organized alphabetically, chronologically, etc., and you find that they are not when you start to pack them, take some time to organize them properly.

**Label boxes.**

- Include Name/Author, Type of files (e.g. correspondence), Subject (e.g. bridge construction),
- Date range, and Box number. Also, note if the file contains fragile materials. For example:
  - John George
  - Correspondence, Stadium funding bill
  - 1990s – 2002
  - Box 4

**Create an inventory (box and folder list) for the boxes.**

- List each box, and the titles of the folders in the box.
- Place the folder list for each box into that box where it can be easily found.
- Send copies of list(s) to the archivist.

PREPARED BY	REVIEWED BY	APPROVED & ISSUED BY
EOMS Team member	EOMS Team Leader	PRINCIPAL



ANNEXURE B

DOCUMENT DESTRUCTION RECORD

Department \_\_\_\_\_

Date \_\_\_\_\_

Description of records:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Method of destruction:

Confidential  Not confidential

Document moved off-site to \_\_\_\_\_ (location)

.....

Destruction carried out by:

\_\_\_\_\_  
Name


\_\_\_\_\_  
Signature

Departmental approval:

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature



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### ANNEXURE C

### DOCUMENT RETENTION

Note: Sample Documentation Retention files is attached below which is just for explication.

#### Alumni

Alumni records (individual files)

#### Gift records

Original gift letter agreements, signed by donor	PERM (V) Planned
Gifts (trusts, life income, agreement, annuities)	PERM (V) Correspondence,
e-mail	ACT+5

(some correspondence may be appropriate for the Archives; consult Archivist)

Gift transmittal ledger or journal	PERM (V)
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#### Sponsored research files

Includes correspondence with the funder (electronic, hard copy, and/or report of significant phone calls), pre-award submission, award notification, and post-award documents, including interim progress reports. 3 years from date of final expenditure report

#### ADMISSIONS

##### APPLICATION MATERIALS FOR STUDENTS WHO ENTER 1

Acceptance Letters	5 years
Applications	ACT + 5
Correspondence	ACT + 5
Entrance Exams and Placement Scores	ACT + 5
Letters of Recommendation	Prior to matriculation
Advanced Placement Records	ACT + 5

#### ASSOCIATE ACADEMIC INCHARGE

Individual student files regarding violations of Academic Honor Code

Violations resulting in academic suspension or dismissal	PERM (V)
All other violations	ACT (then destroy)

#### CAREER DEVELOPMENT OFFICE

Internship learning agreements	PERM (V)
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**COMMUNICATIO**

**PERM (V)**

INSTITUTIONAL PUBLICATIONS (These should be retained by individual departments as long as needed. Two copies of each should be sent by the Office of Communications to the archives for permanent retention.)

- Alumni Newsletters
- Alumni Directories
- Annual Report
- Bulletins and Course Catalogs
- Student Newspapers
- Institutional Newspapers/Newsletters
- Student Directories
- Employee Directories
- College Press Publication List

**RECORDINGS/PRESS RELEASES**

Two copies of records of significant events at the college should be sent to the archives for permanent retention, including, but not limited to, photos, recordings, and press clippings.

**WEBSITE**

Because web sites have replaced many publications, they are a significant archival record of the college and its operation. Web masters and others creating web page content should capture copies of their web site’s content as e-files on CD or DVD and send them to College Archives for permanent retention. The college currently lacks space to retain archived copies on its servers and web sites are not routinely backed-up. If a Web site is changed without preserving the original content, it cannot be retrieved from the college servers.

**INCHARGE OF STUDENTS**

Individual student disciplinary files

Violations resulting in expulsion, suspension, or revocation or withholding of degree

PERM(V)

All other violations

ACT (then destroy)


Individual student medical issue files (e.g., medical withdrawals, accommodations)

ACT (then destroy)

Note: duplicates of the above records maintained in other offices should be destroyed after the student leaves the college or graduates

**FACILITIES/ RECORDS**



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Building Permits	ACT
Building permits	ACT
Building Plans and Specifications	PERM (V)
Building layouts, evacuation routes	PERM (V)
Operating permits	ACT
Maintenance Records	5 years
Motor Vehicle Records	
Titles	ACT
Maintenance records	ACT
Policies and training	5 years Air
Emissions (annual and semi-annual)	PERM
Waste Water emission (county reports)	PERM
Hazardous waste manifests	3 years
(maintained by Chemical Hygiene officer)	
Laboratory Practices	
(standard operating procedures, lab inspections maintained by	
Chemical Hygiene officer) -	3 years
Contracts and Agreements	6 years
Major assets/buildings	PERM (V)
Fire protection systems records	3 years
Elevator inspections	3 years
Fume hood testing records	3 years
Portable extinguisher inspection records	3 years
Warranty records	ACT
Abatement records (asbestos)	PERM (V)

#### **FACULTY**

Academic program materials, including curricula, course syllabi, student theses	ACT, then archives
Personal faculty papers	
<i>See attached Guide to Transferring Materials to the College Archives</i>	

#### **FINANCE/BUSINESS/COMPTROLLER'S OFFICE**

FEDERAL TAX RECORDS (V)	
Form 990	PERM
Form 990-T	3 years
5500 tax reports	PERM
Employee tax withholding	7 years
Depreciation schedules	ACT + 6
Excise tax return	PERM
Fringe benefit returns	PERM
Income tax returns	PERM

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Payroll tax returns	PERM
Pension tax returns	PERM
Property tax returns	PERM
Sales tax returns	PERM

**ACCOUNTS RECEIVABLE RECORDS (V)**

Accounts Receivable Invoices	4 years
Accounts Receivable Ledgers	4 years
Cash Receipts	4 years
Uncollected Accounts (non-student)	4 years
Collection Records	ACT
Cash disbursement register	4years
Perkins repayment records after 12/87	3 years
Promissory Notes (Perkins loan) before 12/87	3 years after paid in full

**ACCOUNTS PAYABLE RECORDS (V)**


Purchase Requisitions/Work Orders	4 years
Invoices	4 years
Checks	4 years
Accounts Payable Ledgers	4 years
Payment/Disbursement Records	4 years
Expense Reports	4 years
Insurance Payments	4 years
Royalty Payments	4 years
Check register	4 years
Reversed check register	4 years
Cancelled checks	4 years
Major assets	PERM
Contracts	ACT + 3*

\*Certain contracts may need to be retained longer, such as construction agreements, warranty agreements and agreements relating to major assets and buildings. Some of these are noted in other sections of this policy. Questions should be referred to legal counsel.

**CAPITAL PROPERTY RECORDS (V)**

Equipment Inventory	ACT
Depreciation Schedules	ACT + 6
Mortgage Records	ACT + 4
Property Improvement Records	PERM
Deeds and closing records	PERM



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**INSURANCE**  
 Certificates of insurance ACT + 6  
 Insurance policies PERM (V)  
 Incident reports, accident reports 6

**FINANCIAL RECORDS (V)**  
 Account Ledgers ACT + 4  
 Description of Accounting System PERM  
 Balance Sheets 4 years  
 General Ledgers PERM  
 Account Ledgers 4 years  
 Auditor's Reports PERM  
 Bank Reconciliation Reports 7 years  
 Cash receipts/deposits 7 years  
 Endowment reports PERM  
 Journals (year-end) PERM  
 Journals (monthly) ACT + 4  
 Trial balance PERM  
 Budget control PERM  
 Sponsored research awards  
 Supporting records - 3 years from submission of final expenditure report\*  
 Audit data collection form and reporting package - 3 years from date of submission

\* (for indirect cost rate proposals or cost allocations plans, contact legal counsel)

**FINANCIAL AID**

Individual student financial aid files, including (V) ACT +3  
 Applications  
 Award letters  
 Repayment history  
 Correspondence  
 Family financial information  
 Work study student files 3 years after fiscal operations report  
 Stafford and PLUS MPNs 3 years after awarded  
 FISAP 3 years after report submitted

**HEALTH AND COUNSELLING CENTER**

Student health files ACT + 5 years

**HUMAN RESOURCES**

Superseded Job Description 5 years  
 Collective Bargaining Agreements PERM  
 Superseded Employee Handbooks 10 years

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**PERSONNEL FILES (including student employees) (V)****Individual Applicants Who Are Not Hired**

Employment Applications	ACT + 2
Note: ACT = hiring date of successful applicant	
Resumes	ACT + 2
Reference checks	ACT + 2
Background Investigation Search	ACT + 2

**Individual Applicants Who Are Hired (Staff)**

Personnel file, containing	ACT + 7
Employment Applications	
Background Investigation Results	
Resumes	
Beneficiary Designation	
Promotions	
Attendance Records	
Employee Evaluations	
Transfers	
Personnel Actions	
Disciplinary Warnings and Actions	
Layoff or Termination Notices	
Letters of Recommendation	

**MEDICAL FILES (V)**

(faculty and staff; medical records are maintained in separate general medical file separate from personnel file while employee is Active, then added to personnel file upon employee's departure)


**RECRUITMENT FILES**

Job Announcements and Advertisements	PERM
Search committee records, including employment applications, resumes, and all applicant search materials	2 years after candidate hired
Applicant tracking record	PERM
Resume of finalist	PERM

**PAYROLL RECORDS (Vault in Comptroller's Office) (V)**

Wage or Salary History	7 years
Salary or Current Rate of Pay	7 years
Payroll Deductions	7 years
Time Cards or Sheets	7 years
W-2 Form	7 years
W-4 Form	7 years
Payroll registers	7 years
Payroll cancelled checks	7 years
Garnishments (maintained in separate file)	ACT +1



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**PENSION AND BENEFITS RECORDS (V)**

**Individual Employee File**

Education Assistance	Act + 7
Disability Records	Act + 7
Payments to State Unemployment Compensation Funds	4 years

**General Files**


Benefit plan documents, disclosure of plan description, annual reports and summary of annual reports, summary plan descriptions	6 years
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All recorded information used in compiling required reports (such as vouchers, worksheets, receipts, applicable resolutions, and participants' elections and deferrals) should be retained 6 years from filing 6 years

**NOTE:** for historical reasons, plan documents should be maintained permanently.

**INSTITUTIONAL AND LEGAL RECORDS**

Articles of Incorporation	PERM (V)
By-Laws	PERM (V)
Minutes of Board of Trustees Meetings	PERM (V)
Minutes of Board of Trustees Committee Meetings	PERM (V)
Licenses	ACT +6
Deeds and Titles	PERM (V)
Attorney Opinion Letters	ACT + 4
Leases	ACT + 6

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College policies	ACT + 10
Contracts	ACT + 4
Contracts for major assets, construction, etc.	PERM (V)
Patent and Trademark Records	ACT + 6
Accreditation records	PERM (V)

#### LITIGATION RECORDS

Claims	ACT or SOL
Litigation Files	ACT + 2
Other Court Documents and Records	ACT
Settlements	PERM (V)
Releases	SOL
(generally 3 years, but check with legal counsel)	
Judgments	PERM

#### INSTITUTIONAL RESEARCH

Fact Books	PERM
Supporting statistical reports	PERM
State and Federal Statistical Reports (electronic)	PERM
Surveys (alumni, student, faculty) Data files	3 years
Weekly Headcount reports	PERM

#### OFFICE OF INTERNATIONAL STUDIES

Individual student files	ACT + 4 years
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#### PRINCIPAL'S OFFICE

##### FACULTY FILES

Course Evaluation Forms	3 years after end of semester
Retired and deceased faculty	1 year after end of semester

##### Full and half-time faculty files (V):

Annual Records	PERM
Appointment Letters	PERM
Curriculum Vitae	
.. Most Recent	PERM
.. Others	ACT
Grants And Awards From External Entities	PERM
Grants And Awards from MITS	ACT

##### LEAVE INFORMATION

Reports	PERM
Other information	ACT
Miscellaneous	ACT or Archive
Tenure Review (preliminary, tenure and promotion files)*	
Letter from president	PERM





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Other information

ACT

PART-TIME FACULTY FOLDERS (V)

Faculty Appointment Authorization form	ACT + 5
Appointment letter	PERM
Payroll authorization for each semester	ACT + 5
Curriculum vitae	PERM.

ACADEMIC SEARCH FILES

ACT + 2

Note: ACT = hiring date of successful applicant

VISA RECORDS

H1b files Act	+ 3 years
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PUBLIC SAFETY

Incident reports	years
Parking registration records	4 years
Parking citations	4 years
Lost/found property information	4 years
Daily logs	7 years(V)
Annual security report	7 years
Drug-Free Schools biennial review	PERM
Evacuation drill records	4 years

REGISTRAR

INDIVIDUAL STUDENT RECORDS (V)

Academic action authorizations (dismissal, etc.)	ACT + 5
Academic records (including narrative evaluations, etc.)	PERM
Advanced Placement	ACT plus 5
Application for Graduation	ACT plus 1
Application for admission or reinstatement	ACT + 5
Audit authorizations	1 year
Change of grade forms	PERM
Class lists	PERM
Correspondence (relevant, verifications, requesting records, e.g.)	ACT + 5
Course Drop/Add Slips	2 years
Class Schedules	ACT plus 1

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Credit by exam reports/scores (e.g., AP)	ACT + 5
Credit/no credit approvals (audit, pass/fail, etc.)	2 years
Curriculum change authorizations	ACT + 5
Date of Graduation and Degree Award	PERM
Degree Audit Records	ACT + 5
Disciplinary and Honor Code Violation Files resulting in expulsion or suspension (maintained separately from academic files in Incharge of Student's and Associate Academic Incharge's offices)	PERM
FERPA documents (requests and disclosures)	Life of underlying record
Foreign Student (I-20) Forms	ACT plus 5
Grade Reports	1 year
Graduation authorization	ACT + 5
Transfer Credit Evaluations	ACT plus 5
Military documents	ACT + 5
Name Change Authorizations	ACT plus 5
Pass/Fail Requests	2 years
Personal Data Forms	ACT + 1
Registration Forms	2 years
Transcripts	PERM
Transcript Requests	1 year
withdrawal authorizations	ACT + 2


#### **STUDENT ACTIVITIES**

Clubs, associations,	
Final publications, photos, artwork, memorabilia, policies	PERM
Administrative records	PERM
Other records ACT	
Student Radio and T.V. Stations programming (archive)	PERM
Student publications (archive)	PERM

#### **DEPARTMENT, and COMMITTEE FILES** (including academic departments, divisions, task-forces, and other college working groups)

Departmental and committee files are critical for documenting the history of the college and should be kept, managed, and archived in a manner consistent with the guidelines provided in this policy. Each department and committee should establish an ongoing process of records management for the department/program to ensure that personnel transitions do not interrupt ongoing records management. If a current committee chair or department head maintains records in his or her own office or on his or her own computer exclusively, that individual is responsible for transferring all electronic and paper records to the departmental assistant or next committee chair when his or her term ends, so that record-keeping and management is not



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interrupted. In the case of confidential materials in the possession of the chair or department head, those should be marked as such (and placed in a sealed envelope, if appropriate) and maintained within the department/ committee files. Personnel records in the possession of the department (including records relating to student employees) should be forwarded to the Department of Human Resources when the employee is no longer employed by the college. The departmental assistant(s) are a key link in long term maintenance of departmental records. The assistants should be entrusted with knowledge of all departmental records and assist in their maintenance, even if the records are physically kept in the department chair or head's office.

These records may be transferred to the archives once they are inactive and/or have met their retention schedule. Please see the Guide to Transferring Records to the College Archives for additional information.

Agendas, minutes, reports, surveys	PERM (V)
Correspondence, memoranda other documentation related to significant policy and decision-making	PERM (V)
Syllabi	PERM (V)
Photographs and other media documenting the college and/or events	PERM
Handbooks, policies	ACT then archives
Subject files on particular events/subjects	ACT then archives
Manuscripts	ACT then archives
Speeches	ACT then archives
Student papers, theses, exams	ACT then archives
Contracts	ACT + 3 years*

\*Certain contracts may need to be retained longer, such as construction agreements, warranty agreements and agreements relating to major assets and buildings. Some of these are noted in other sections of this policy.