

C22.0 RECORDS MANAGEMENT POLICY

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1. Introduction

This Policy seeks to ensure that RIT Records, especially those that are required for compliance with the law, are retained for a sufficient period of time. In addition, this Policy seeks to ensure that RIT Records which document the history of RIT are preserved.

This Policy should be read together with the other policies of RIT. RIT's policies are available online at www.rit.edu/policies. The electronic version of this Policy will, from time to time, contain "Frequently Asked Questions" which interpret and detail the applicability of the Policy to various practical situations.

2. Effective Date

This Policy will be effective on May 13, 2009 ("Effective Date"). It will apply to all divisions, departments and academic units of RIT.

3. ~~Defintions~~ Definitions

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Terms not otherwise defined herein have the meanings listed below.

A. **Active Record** means a record with current administrative use for the division, department, or academic unit that created it. Records remain active for varying numbers of years, depending on the purpose for which they were created.

B. **Archival Record** means 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. **Hold Notice** means a communication issued by the Office of Legal Affairs as a result of a current or anticipated government regulation, investigation, litigation or other matter that warrants the suspension of this Policy.

D. **Record** means any document, communication, or similar item generated or received by RIT, by RIT personnel, or on RIT's behalf.

E. **Official Repository** means the division, department, or academic unit designated as having responsibility for retention, timely destruction of particular types of official University records, or forwarding to RIT Archives. Such responsibility is assigned to the division, department, or academic unit's vice president, director, dean, or designee.

38 F. **RIT Archives** means a department of the RIT Wallace Library that promotes knowledge and
39 understanding of the University's origin, aims, programs, and goals; and facilitates effective
40 record management.

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42 G. **RIT Record** means the original or copy of any record, ~~which is either an Active Record,
43 Archival Record, or~~ which must be held for official business or regulatory purposes in
44 accordance with the university's Records Retention Schedule ~~in Section VI of this Policy.~~
45 ~~Official repositories for these records are contained in this Policy (see below for the Schedule
46 for a listing of Official Repositories).~~ RIT Records do not include records that are not created in
47 the official course of business, serve no legitimate or necessary business purpose, or are
48 created for personal purposes only.

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50 H. **Personnel** means all RIT staff and faculty, full-time and part-time, including student
51 employees acting within their scope of employment, non-employee consultants, visitors,
52 adjuncts and others using university resources.

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55 I. **Scope of Employment** means all activities related to: ~~(i) the field or discipline of the faculty
56 member's appointment, including the general obligation of a faculty member to teach, to do
57 creative work, and to conduct research; and (ii) to~~ the employment responsibilities of ~~non-faculty
58 personnel for which such personnel receive compensation from RIT, where compensation is
59 any consideration, monetary or otherwise, including the ability to use RIT resources.~~

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61 **Confidential Record** means a record that contains personal information protected from
62 disclosure by law or RIT policy, ~~including but not limited to, the Family Educational Rights and
63 Privacy Act ("FERPA"), the Gramm Leach Bliley Act, the Health Insurance Portability~~

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65 K. **Electronic Record** means a record maintained on a RIT network, email server,
66 back-up tape, CD-ROM, hard drive, or data storage location.

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68 L. **Student Employee** means students, who are also RIT employees, acting within the
69 scope of employment.

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71 M. **General Correspondence** means emails, letters, or notes received in the course of
72 business that is directly related to the mission of a particular department, division, or academic
73 units. ~~Indirect or conversational emails, letters, or notes received on a daily basis and not
74 connected to the mission of a particular department, division, or academic units should not be
75 considered general correspondence.~~

77 4. General Provisions

78 A. Purpose

79 The purpose of this Policy is to require consistent treatment of Records. ~~Maintenance, retention,
80 and disposal procedures for Records must be followed systematically by Personnel in~~

81 ~~designated Official Repositories.~~ This Policy is intended to ensure that RIT meets legal standards, preserves RIT's history, and
82 destroys outdated and useless records.

84 B. **Scope**

85 All personnel shall comply with this Policy, as amended from time to time. This Policy is
86 considered part of the conditions of employment for RIT personnel ~~and shall be included in the~~
87 ~~university's Governance Policy Library.~~

89 C. **Management of University Records**

90 Divisions, departments, or academic units that are Official Repositories for RIT Records are
91 responsible for establishing appropriate records retention management practices. ~~These~~
92 ~~records retention management practices are intended to establish a procedure by which RIT~~
93 ~~Records are identified for archival, retention, or disposal.~~ Each division, department, or
94 academic unit's vice president, director, dean, or designee must:

- 95 1. Implement the division, department, or academic unit's record management practices;
- 96 2. Identify a records custodian for the division, department, or academic unit with
97 responsibility to ensure that these record management practices are consistent with this
98 Policy;
- 99 3. Educate staff within the division, department, or academic unit in understanding the record
100 management practices;
- 101 4. Preserve inactive records of historic value and transfer those records to the RIT Archives;
- 102 5. Ensure that access to confidential files is restricted; and
- 103 6. Destroy inactive records that have no archival value upon passage of the applicable
104 retention period ~~identified in this Policy, or in a division, department, or academic unit's~~
105 ~~records management policy approved~~ by the Office of Legal Affairs.

106 ~~0. (see attached Schedule for recommended and required retention periods)~~

107 requirement by a consent order, private or governmental contract, pending or anticipated
108 litigation, investigation, or audit requirement. Such suspension supersedes the requirements
109 listed in this Policy ~~or any division, department, or academic unit's records management policy~~
110 and shall be made by the Office of Legal Affairs, which has the authority to suspend and revise
111 any retention schedule, ~~including the schedule attached to this Policy.~~ The Office of Legal
112 Affairs will implement such a suspension by sending out a Hold Notice for relevant records to
113 affected divisions, departments, or academic units ~~as well as to the Chief Information Officer,~~
114 ~~Information Technology Services (ITS) department.~~ This Hold Notice shall be in effect until
115 rescinded by the Office of Legal Affairs ~~and shall control the preservation, retention and~~
116 ~~disposal of specifically listed records.~~

117 5. Implementing Record Management Practices

- 118 A. **Retaining of Records.** ~~Section IV6 sets forth the recommended and required period of time for~~
119 ~~Records that should be retained.~~ In establishing appropriate record management practices,
120 each division, department, or academic unit's vice president, director, dean or designee will be
121 responsible for setting up a process for the identification of RIT ~~Records created, received by~~
122 ~~and delivered from their Office Repository.~~ In addition, in connection with setting up record
123 management procedures, the following should be considered and incorporated:

124 ~~0.~~ Archival Records. Generally, Records which document the history of administration,
125 academic programs, and the social and cultural life of RIT should be preserved. ~~These~~
126 ~~records include, but are not limited to, correspondence, meeting minutes, administrative~~

127 4.2. Electronic Records. The retention and preservation of electronic records shall be in
128 accordance with this Policy. If an electronic record falls within one of the retention
129 schedule's categories of records, then the record must be treated the same way as a
130 similar hard copy record.

131 2.3. Email. In considering the nature of email for retention purposes, an email and its
132 attachments should be considered as a whole. If one retention period applies to an email
133 and a different retention period applies to the email attachment(s), the entire email with
134 attachment(s) should be retained for the longer of the two retention periods. If a person is
135 merely copied on an email (either listed as a "cc" or "bcc"), he/she should treat the
136 document as a duplicate in accordance with sub section 5 below, ~~i.e., it may be deleted~~
137 ~~unless this Policy, or a division, department, or academic unit's record management policy~~
138 ~~requires keeping it. Personnel may create individual folders and files within his/her email~~
139 ~~archives for retention of RIT records in accordance with this Policy.~~

140 3.4. Disaster Recovery. Electronic records maintained by the Information Technology Services
141 (ITS) for disaster recovery and backup purposes only shall be retained and preserved by
142 ITS in accordance with a uniform rotation schedule. This uniform rotation schedule shall
143 require that no ITS backup of electronic records shall be maintained for longer than thirty
144 (30) days. ~~No other division, department or academic unit shall maintain electronic records~~
145 ~~for disaster recovery or backup purposes without the specific written approval of the Office~~
146 ~~of Legal Affairs and without adherence to the ITS uniform rotation schedule. Suspension of~~
147 ~~the uniform rotation schedule shall be accomplished only with the written approval of the~~
148 ~~Office of Legal Affairs.~~

149 4.5. Duplicates. Generally, only one copy of each record shall be retained. A duplicate is an
150 exact replica of the original and shall be destroyed as soon as it does not serve a
151 legitimate business purpose and as long as is not subject to a Hold Notice indicating
152 otherwise. Prior drafts, revisions, or original documents that have additional hand written
153 notes are not considered duplicates of the original and shall be subject to the same
154 requirements as an original record.

155 A. Destruction of Records. Records that are neither Active Records, Archival Records, RIT
156 Records, nor the subject of a Hold Notice should not be maintained. In addition, when the
157 required retention period for RIT Records has passed, a determination of whether to preserve
158 the record as an Archival Record or to dispose of the record must be made. The division,
159 department, or academic unit's vice president, director, dean, or designee should make this
160 determination, in consultation with the RIT Archivist, ~~and facilitate the disposal of the RIT~~
161 ~~records in one of the following ways:~~

162 B.C. Using the Retention Management Schedule. ~~Records are listed in the Retention—~~
163 ~~Management Schedule by their recommended or required retention period, as well as their~~
164 ~~historical/archival value. The list of records identified in the Retention Management Schedule is~~
165 ~~not intended to be exhaustive.~~ Divisions, departments, or academic units may establish their
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own records management policy, with the approval of the Office of Legal Affairs, to determine the retention period for the Records created and/or kept in their respective areas. **Current retention schedules for RIT divisions are located on the [Office of Legal Affairs website](#).**

1. If two or more categories with different retention periods are applicable to a record, the record shall be retained for the longest applicable retention period.
2. Records required to be destroyed must not be destroyed before the prescribed retention period has expired. Records that are required to be destroyed and are subject to specific retention periods shall be destroyed within a reasonable period of time following the expiration of the retention period, ~~as set forth in the schedule. Records required to be destroyed shall not be retained for longer than the specific retention period or default retention period (including the reasonable period of time for destruction), unless subject to a Hold Notice or special condition requiring a longer period, without first obtaining authorization from the Office of Legal Affairs.~~
3. The default retention period for records whose retention period has not been specifically determined shall be six (6) years. ~~However, it is important to note that if a record is an Archive Record it should be retained permanently and forwarded to the RIT Archivist in accordance with his/her instructions.~~

~~—The time for calculating the applicable retention period shall begin at the end of the calendar year in which the document was created or received by personnel. For example, a contract executed in June 2014 that is subject to a six year retention period would be eligible for destruction after December 31, 2020.~~

5. ~~Current retention schedules for RIT divisions are located on the [Office of Legal Affairs website](#).~~

C.D. Exceptions. Requests for exceptions to this Policy should be granted rarely and only with good cause. Requests for exceptions to this Policy should be submitted to the Office of Legal Affairs. ~~Upon receipt of notice that the retention period for any RIT records should be extended or an exception otherwise granted, the Official Repository responsible for such record shall immediately disseminate notice that such record should not be destroyed until further notice.~~

D.E. Training. ~~All personnel involved in or responsible for records management activities will be trained and kept current in all aspects of their responsibilities.~~ Each division, department, or academic unit's designee or records custodian will be responsible for ensuring their personnel are informed of the Policy and procedures established pursuant to the Records Management Program and devising the appropriate training to ensure appropriate implementation.

E. Auditing. ~~For all RIT Records subject to this Policy, each division, department, or academic unit's designee shall perform periodic reviews of the implementation of this Policy, under the oversight and guidance of Institute Audit, Compliance and Advisement, Office of Legal Affairs or their designee.~~

F. Procedure for Amending the Records Retention Schedule. ~~In the event of any changes in the Retention Schedule, the Office of Legal Affairs will notify each division, department, or academic unit's vice president, director, dean or designee.~~

RECORDS MANAGEMENT SCHEDULE

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