

# GOUCHER | college

## 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efficient current and future operations, preserve a historical record, comply with legal obligations, and eliminate outdated and unnecessary records.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 college operations. “Official record” means any tangible thing containing recorded information that is created, received, used, recorded, or filed in the course of college 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 memoranda of transmittal, 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 college operations
- Magazines and newspapers not published by Goucher
- Published reports and other documents produced by entities other than Goucher
- Notes, drafts, or working papers once a project is completed, unless they provide more complete information than the final report

Some materials that do not constitute official college records could nevertheless have historical value to the college and provide important information to retain for the college’s institutional memory. For example, personal faculty papers are not official records, but are actively collected in the archives. Please see the Guide to Transferring Materials to the Archives, attached as Appendix A. Any questions about preserving materials for historical value should be directed to the college archivist. Questions about whether certain material

constitutes an official record subject to the retention guidelines should be directed to the General Counsel.

### **III. ADMINISTRATION**

#### **A. Responsibilities of General Counsel**

The Office of General Counsel 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 College Archivist**

The Goucher College archives serves as a repository for non-current official records and other records of the college that have enduring value. The archives preserves and makes accessible these records for legal, administrative, and research needs. Some records may be closed for 25 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. The Guide to Transferring Materials to the College Archives, attached as Appendix A, provides helpful information for college departments on selecting and transferring records to the archives.

#### **C. Responsibilities of Department Heads.**

Each department head, or head's designee, 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. DISPOSITION 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. In addition, such records may be subject to disclosure (for example, pursuant to the Family Educational Rights and Privacy Act of 1974 (**FERPA**), or in litigation pursuant to a discovery request).

Departments should review the *Guide to Transferring Materials to the College Archives* and/or confer with the archivist prior to disposition of any records that may have enduring value to the college. Authorization to dispose of official records is granted through the record retention schedule in this policy, which describes the most common types of records at Goucher and how long they must be maintained. Retention schedules for less common types of records or those that are unique to particular departments will be established in consultation with individual departments. State or federal law may determine the period that certain records must be kept.

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 Provost'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. The Provost's Office 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, information that is protected student information under FERPA, health-related information, or financial 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 General Counsel. For this purpose, the General Counsel 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 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 Magellan 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 retrievable.
- Consultation with Information Technology Services staff 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 (a Magellan departmental 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:

1. The re-establishment of an authentic replacement of a lost or unavailable record would be impossible or prohibitively difficult; and
2. 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.

Guidelines for the protection of vital records can be found in Appendix C to this policy.

**VIII. RETENTION PERIODS**

The Retention Schedule below lists 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 that are not on the retention schedule but should be retained. Questions about such documents should be addressed to the General Counsel, and types of documents will be added to the schedule as appropriate.

The stated retention periods are a minimum time for which records should be retained. Generally, records should be destroyed at the end of these periods or longer, if required by federal, state or local law. In some cases, records may be transferred to the archives at the end of the retention period, as indicated in Appendix A.

- ACT = while active, employed, or enrolled
- PERM = permanent
- SOL = Statute of Limitations
- V = vital record

**DOCUMENT RETENTION PERIOD**

**ALUMNAE/I AFFAIRS AND DEVELOPMENT**

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)

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

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<sup>1</sup> The information on student records was adapted from Retention of Records: A Guide for Retention and Disposal of Student Records, American Association of Collegiate Registrars and Admissions Officers (1987).

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

**APPLICATION MATERIALS FOR STUDENTS WHO ARE REJECTED,  
WAIT-LISTED, OR ACCEPTED BUT DO NOT ENTER**

Acceptance Letters	1 year after application term
Applications	1 year after application term
Correspondence	1 year after application term
Transcripts	1 year after application term
Advanced Placement Records	1 year after graduation term
Entrance Exam Reports (SAT, ACT, etc.).	1 year after graduation term
Letters of Recommendation	1 year after application term

**AFFIRMATIVE ACTION/EQUAL OPPORTUNITY [Human Resources, Legal Counsel,  
Institutional Research]**

Academic Search plans and statements	3 years after completion
Academic Search Waivers	3 years
Affirmative Action Programs	PERM
Federal and State Required Statistics and Reports	PERM (V)
Internal Discrimination/Harassment Complaints, Investigations and Findings	
No cause	3 years
Cause	PERM

**ASSOCIATE ACADEMIC DEAN**

Individual student files regarding violations of Academic Honor Code	
Violations resulting in academic suspension or dismissal	PERM (V)
All other violations	ACT (then destroy)

**ATHLETICS**

Records, including photographs, awards, etc. related to student participation in athletics	ACT + 3 or Archive
Training records (Bloodborne pathogen, AED, first aid)	ACT + 5

**BURSAR**

Enrollment agreements (maintained with permanent file by Registrar)	PERM(V)
Individual collection files	ACT + 1
Student billing records (includes cash receipts)	7 years

**CAREER DEVELOPMENT OFFICE**

Internship learning agreements	PERM (V)
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## COMMUNICATIONS

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.

## DEAN 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/FMS RECORDS**

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
OSHA 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
MSDS	PERM
Warranty records	ACT
Abatement records (asbestos)	PERM (V)

## **FACULTY**

Academic program materials, including curricula, course syllabi, student theses	ACT, then archives
Personal faculty papers	
See attached <i>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

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

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
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## HUMAN RESOURCES

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

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)

FMLA records	ACT + 3 (then moved to personnel file)
Employee medical file including examinations, doctor records	
correspondence and other records	ACT + 7
Workers comp claims	
First report of injury and employee file	30 years
OSHA logs of workplace injuries	6 years
(OSHA 300 Log, the privacy case list (if one exists), the annual summary, and the OSHA 301 Incident Report forms)	
Employee exposure records	ACT + 30 years
Drug and alcohol test results	
Positive	5 years
Negative	1 year
I-9s (faculty and staff)	ACT + 1 or 3 years from date of hire

## 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

## 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
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.

Health Insurance Portability and Accountability Act (HIPPA)	
Policies and Procedures	ACT plus 6

## 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

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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#### PROVOST'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 Goucher College	ACT

##### LEAVE INFORMATION

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

Other information

ACT

\*These guidelines apply to tenure materials forwarded to the Provost’s office by the RPT committee. The RPT committee guidelines regarding retention and disposal of RPT candidate materials apply to materials while in the committee’s possession.

**NOTE:** for any faculty member that leaves the college due to negative RPT review, all records are retained for ACT + 5 years (instead of ACT), then maintained as described above for full and half-time faculty.

**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

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 Dean of Student's and Associate Academic Dean'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 AND GOVERNMENT**

Clubs, associations, SGA	
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



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. Questions should be referred to legal counsel.

**Note:** *The archives actively collects the personal papers of faculty as a separate group from the college's records. Faculty should work with the archivist if they are considering leaving papers to the college.*

### APPENDIX A

#### Guide to Transferring Materials to the College Archives

The Goucher College 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 the Goucher College 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 25 years or longer, depending on the nature of 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 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 Goucher College
- 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, 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 galley proofs 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 ½” x 12” x 10 ½”).

**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.**

- 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.

**APPENDIX 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:

\_\_\_\_\_

Print Name

\_\_\_\_\_

Signature

Departmental approval:

\_\_\_\_\_

Print Name

\_\_\_\_\_

Signature

**APPENDIX B**  
**VITAL RECORDS MANAGEMENT POLICY**