Connecticut College
Records Management
Program Manual

Information Services
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Connecticut College Records Management Program

Introduction
College records, regardless of format, serve a variety of administrative, legal, and fiscal needs for the personnel in the offices that originally created and used them. These records must be managed so that they are well-organized, easily accessible, safely stored and eventually properly disposed of when their use and value ends. These records must be managed to comply with governmental law and policy, e.g., FERPA and the Federal Rules of Civil Procedure.

Records Management Program
The College Records Management Program, administered by the College Archives, will promote economy and efficiency in the creation, organization, maintenance, retention, use, and disposition of the College’s official records as outlined by a mandate established by the College’s Board of Trustees.

“A records retention plan will be developed for each department to guide faculty and staff in managing their records and files. Records should not be discarded without first consulting the retention plan or, if necessary, the department head and the College Archivist.”

(see Mandate for the College Archives by the Connecticut College Board of Trustees, August 1990 in Connecticut College Archives Program Manual).

These records include all papers, maps, photographs, sounds or video recordings, digital records, and other documentary materials, regardless of physical format, created or received by an employee in connection with the transaction of College business.

The Records Management Program provides the following:
- identification of College Records that may be of sufficient and continuing administrative and historical value to warrant consideration of transfer to and preservation in the College Archives;
- a procedure for the orderly and periodic transfer of inactive College records from premium office space or inadequate remote storage to a designated off-site secure records storage repository;
- procedures for systematic destruction of non-current College records that have outlived their administrative usefulness;
- assistance and advice to administrative and academic personnel pertaining to records-keeping practices in support of college and government policy or law.
Policies for Records Management

Managing Records in College Offices

Policy:
Individual offices will work with College Archives to develop and use an organized, cost effective, system to manage records throughout their life cycle (creation, use, maintenance, and ultimate disposition) using the Connecticut College Records Retention Schedules in this document for guidance.

Background:
A goal of a records management program is to achieve efficient and economic control of the active information materials in an office and dispose of inactive records with no administrative or historical value in a sensible and systematic way. Participating in the College Records Management Program will save offices time, money and resources while improving efficiency and protecting the college from unplanned loss or retention of records.

An organized system of managing records is economical because it saves time during retrieval, and prevents lost files and filing duplicate records. An efficient filing system, a sound records classification system and appropriate filing equipment can solve most common records management problems caused by space limitations, lack of standard language or system and cost issues.

A balance between the needs of a department or office and established records management principles is a priority of the College Records Management Program. This can be accomplished by College Archives staff and college department office staff working together to establish guidelines that are appropriate for their needs. Destroying, recycling or removing historically significant inactive records to the College Archives according to established schedules allows more effective use of active records and minimizes potential legal problems by maintaining the records that need to be kept for the required length of time.

It is important for institutions to establish recognized records retention schedules as legal issues arise from keeping records too long as often as for destroying records too quickly. Minimum retention ranges for College records are established by federal and state authority. To comply with lawful maintenance of records, offices should follow guidelines established by the State of Connecticut (see authorized retention tables at <http://www.cslib.org/retstate.htm>).

The College Archives can centrally manage inactive records more efficiently than individual offices, particularly if the inactive records will eventually be transferred to the Archives for permanent retention. The Archives staff should be contacted for advice on performing a records survey to determine the needs of College offices. Inactive records are always available to the offices of origin, and records retrieval is a standard process. The College Archives and the original office will develop specific retention schedules relative to an office’s needs.
**Maintaining Electronic Records**

*Policy:*
All official correspondence and business records are subject to the Managing Records in College Offices Policy (above) whether in electronic or other tangible form. Thus, electronic records should be retained and disposed of in accordance with the Records Retention Schedules observed by individual offices.

*Background:*
Electronic records are any documents that are created, stored or used in digital form. College policies for managing records do not differentiate between storage media, the information in the document itself determines its value as well as retention and disposition of the document.

Offices managing electronic documents are cautioned to be judicious in using electronic formats for storing and maintaining business records for long term use. Electronic records that need to be retained in excess of 2 years should be transferred to a more lasting medium such as paper or microfilm. If “born digital” electronic records are of significant importance, the records must be printed or saved into a long term storage medium without altering the original format. This requirement applies to electronic mail as well (see *Appendix A: The Connecticut College Electronic Mail Policies*).

Electronic records produced in campus offices can be efficiently organized and maintained on office or department hard drives and servers. Other electronic records may exist on college services.

Federal Rules of Civil Procedure (December 1, 2006) govern maintenance of electronic records. Among records that may be discovered are e-mails, computer and network activity logs, cache and temporary Internet files, digital recordings, voice mails stored in an electronic format or accessible via a computer, spreadsheets, and telephone logs, as well as all materials in the records retention schedules. Preliminary drafts of letters, memos, spreadsheets, and transitory e-mails are considered official records and need to be retained upon reasonable expectation a lawsuit might occur.

**Records and Litigation**

*Policy:*
A college employee must not destroy or modify any records, whether print, microform, or digital, involved in, or that might reasonably be expected to be involved in, litigation, claim, negotiation, audit, open records request, administrative review or other action involving the records. All reasonable steps should be taken to preserve records so as not to pre-empt a litigant’s right to compel production of records. Staff must maintain the records until the actions requiring the records have been resolved.
Background:

Pursuant to the Federal Rules for Civil Procedure (December 1, 2006), standard practice in organizations is that employees must retain records, including digital records, if litigation occurs or there is a reasonable expectation that the organization will be involved in litigation (or other activities where records may be required, e.g., EEO complaints, etc.) Courts have presumed that if an organization’s records are unavailable, they contain information supportive of a claim against the organization. When litigation is expected, the college may issue a “litigation hold” on records to ensure that records are not inadvertently or intentionally destroyed or modified.

Custody of Records

Policy:
Records stored in the Archives or the off-site records center (repository) are in the physical custody of the College Archives under the policies and procedures of the Connecticut College Records Program Manual.

Legal custody of the records remains with the department, office, program, or person who created and maintains the records. The creating department and the Archives staff have physical access to the records; however, only the creating department may grant permission to review records. Archives staff refer any requests for records access from other departments or personnel to the creating departments.

Access and Confidentiality of Records

Policy:
Connecticut College employees shall protect all confidential information by safeguarding it when in use, protecting it properly when not in use and sharing it appropriately. In the case of students, information will only be shared under FERPA guidelines. Information relative to other members of the college community will only be shared as allowed by state and federal legislation or college policy.

Background:
Many of the records managed by College offices are administered to control access and maintain confidentiality. The confidentiality of records, access to public records, and the handling of requests for information are governed by concerns about identity theft and privacy, as well as by several state and federal statutes including:
- the Health Insurance Portability and Accountability Act of 1996 (HIPAA)
- the Family Educational Rights and Privacy Act of 1974 (FERPA),
- Connecticut Statute 14.1-210 which governs access to public records and exemptions.
• other state or federal statutes and regulations as appropriate.

Many records generated by College offices include detailed information about students, employers, employees and salary. Many records must be kept confidential as a matter of law. Maintaining confidentiality is critical to the College's obligations to comply with law and to the proper conduct of College business. To access student records, contact the Records and Registration Office. To access personnel information, contact Human Resources.

Off-Site Records Storage

Policy:
The College Archives will only accept permanent archival materials for onsite storage. Due to space considerations, inactive records that must be retained for legal purposes should be stored off-site or in departmental offices for the required time per the Records and Retention Schedules. Document destruction may be suspended by the College Archivist and Special Collections Librarian or the owner of the records at any time to comply with E-Discovery rules (e.g., Federal Rules for Civil Procedure).

Background:
Off-site records storage serves as a storage solution for inactive records or records needing to be retained for legal purposes for a specific length of time. Records that have permanent archival value are maintained in the College Archives.

Information Services provides oversight of records storage and maintenance at the designated off-site storage facility. Departments and offices using the off-site center will be billed for the storage of their records and all accompanying fees. (see Appendix E: Schedule of Fees for Off-site Storage).
Records Management Procedures

**Litigation Hold Policy and Procedures**
*Policy effective August 1, 2017. RMP amended August 10, 2017.*

1. **Purpose**
There are circumstances where the normal and routine destruction of records must be suspended according to Federal and State requirements and College record retention and disposition schedules. Present and future records that are involved in litigation, or reasonably anticipated in foreseeable legal action, must be preserved until the legal hold is released by the Vice President of Finance and Administration.
The purpose of this document is to set forth the authority and process for initiating, implementing, monitoring, and releasing legal holds.

2. **Scope**
This policy and procedures applies to all College employees and covers all records, regardless of form, made or received in conducting College business.

3. **Definitions and Authority**
"Affected College Employee” means all College personnel, including Department Heads or Directors, who are in possession or control of evidence, which is the subject of a legal hold.
A "legal hold" is an order to cease destruction and preserve all records, regardless of form, related to the nature or subject of the legal hold.

"Evidence" includes all records, whether in electronic or paper form, created, received, or maintained in conducting College business, whether at home or work. Such evidence may include, but is not limited to, paper records and electronic records stored on servers, desktop or laptop hard drives, tapes, flash drives, memory sticks, or CD-ROMs.

"Electronic records" includes all forms of electronic communications, including, but not limited to, e-mail, word processing documents, calendars, spreadsheets, voice messages, videos, photographs, text messages, or information stored on mobile devices.

"College employee" includes all employees, whether permanent, temporary, full-time or part-time, faculty, and student employees.

“ediscovery” refers to any process in which electronic data is sought, located, secured, and searched with the intent of using it as evidence in a civil or criminal legal case.
The authority to place a legal hold is vested in the Vice President of Finance and Administration.

4. **Policy**
A college employee must not destroy or modify any records, whether print, microform, or digital, involved in, or that might reasonably be expected to be involved in, litigation, claim, negotiation, audit, open records request, administrative review or other action involving the records. All reasonable steps should be taken to preserve records so as not to preempt a litigant’s right to compel production of records. Employees must maintain the records until the actions requiring the records have been resolved.

5. **Background**
Pursuant to the Federal Rules for Civil Procedure (December 1, 2006), standard practice in organizations is that employees must retain records, including digital records, if litigation occurs or there is a reasonable expectation that the organization will be involved in litigation (or other activities where records may be required, e.g., EEO complaints, etc.) Courts have presumed that if an organization’s records are unavailable, they contain information supportive of a claim against the organization. When litigation is expected, the college may issue a “litigation hold” on records to ensure that records are not inadvertently or intentionally destroyed or modified.

6. Compliance
6.1 Compliance Measurement
Information Services will verify compliance to this policy through various methods, including but not limited to, periodic walkthroughs, application tools reports, internal and external audits, and feedback.

6.2 Exceptions
Any exception to the policy must be approved by the VP for Finance and Administration.

6.3 Non-Compliance
Non-compliance of this policy and procedures, may result in disciplinary action, following the usual disciplinary processes of the College for faculty and staff. The Vice President of Finance and Administration will determine whether to initiate the disciplinary process.

7. Release of a Legal Hold
The Vice President of Finance and Administration will determine and communicate to affected College employees when a legal hold is lifted and evidence no longer preserved. Connecticut College is required to preserve data of an individual starting on the date of a litigation hold, but not required to preserve data we may have collected from a prior litigation hold on that individual. Materials, such as computer hard drives, that are released can be reused after they have been erased.

8. Process
The Vice President of Finance and Administration determines whether to initiate a legal hold and identify College personnel subject to the hold.

The Vice President of Finance and Administration will notify affected College personnel that a legal hold has been initiated. The notice will inform affected personnel of their obligation to identify and preserve all evidence that may be relevant to the legal hold.

Any College employee subject to a legal hold should consult the IT Service Desk, or submit a WebHelpDesk ticket, for assistance in securing and preserving their records. The Vice President of Finance and Administration will notify Information Services of a legal hold and provide the following information including, but not limited to:

Official notification of the legal hold;

Identify all affected College personnel whose electronic accounts must be preserved, including user names, if known;

Identify each person's status as faculty, staff, student, or retired, if known;
Provide department affiliation for each person, if known.

Information Services must acknowledge receipt, understanding, and compliance with the legal hold without undue delay by e-mail and memorandum to the Vice President of Finance and Administration.

Once notice of a legal hold has been issued, the Vice President of Finance and Administration will continue to monitor compliance with this policy and any notice.

Information Services will utilize a backup application, such as Crashplan, to secure electronic records stored on College-owned computers used by staff and faculty. Copies of network shares mapped to the user’s computer will be backed-up to a College-maintained archiving system. Any hard drives removed from College-owned computers will be stored in a secure location maintained by the IS Security Office. College employees identified in the Litigation Hold will have a complete computer backup as of the LH effective date, stored in Crashplan under a separate profile.

**Employee Terminations.** In the event an employee leaves the college, Information Services validates and verifies the Litigation Hold backup is complete and preserved. This is done prior to wiping and re-issue of the computer. Files not backed up should be identified from the local computer logs and documented.

**Employee Transfers.** In the event a person in Litigation Hold transfers to another department within the college, the computer stays with the old department. The employee’s new computer will be established with the Litigation Hold profile, preserving all data covered by the Litigation Hold. The old computer will be wiped and re-issued.

**New Computer.** In the event an employee’s computer is identified for normal replacement Information Services validates and verifies the Litigation Hold backup is complete and preserved. This is done prior to wiping the replaced computer. Files not backed up should be identified from the local computer logs and documented. The employee’s new computer will be established with the Litigation Hold profile.

Email accounts for the college employees identified in the Litigation Hold will be preserved in Google Vault as soon as practical after the date of notification of the Litigation Hold.

**Effective Date**
August 1, 2017

**Disposition of Records**
When the retention requirements for records have been met and the records are no longer needed or used in department offices, they should be disposed of in one of the following three methods:

1. Permanent records with archival value should be transferred to the College Archives (see “Transferring Permanent College Records and Memorabilia to the Archives” in the Connecticut College Archives Program Manual).
2. Inactive records, with no archival importance, that have been kept as long as legally required and have outlived their usefulness, as per the Connecticut College Records and Retention Schedules should be destroyed. If the records contain confidential or privileged information (see Access and Confidentiality of Records, above), they should be destroyed by shredding or, in the case of digital records, permanently erasing the files and/or destroying the medium. If
records are stored off-site, the vendor can contract out to a third party vendor for confidential shredding services. In order to take advantage of this service, department offices must have destruction dates clearly marked on each box and listed in an inventory prior to sending records off-site.

3. Inactive records that do not meet the criteria for permanent retention or inclusion in the College Archives, and which do not contain confidential or privileged information can be destroyed by recycling. No security measures are necessary for their destruction.

4. Suspension of automatic document destruction can occur at any time to satisfy ediscovery rules.

Records sent off-site can be called back for on-campus review to determine records disposition.
Procedure for Transferring Records to Connecticut College Archives or to Off-Site Storage

Archives:
If transferring records with permanent archival value please follow instructions found in “Transferring Permanent College Records and Memorabilia to the Archives” in the Connecticut College Archives Program Manual.

Off-site Storage:
To send records off-site, please follow the following steps:
1. Conduct a Records Survey to identify and separate permanently valuable records (see Connecticut College Archives Program Manual section on “Items with Archival Value”).
2. Obtain boxes for office records (Please see Appendix C, List of Vendors)
3. Fill boxes (from front to back)
4. Make a list of box contents/inventory
5. Complete the Records Transfer Form (Appendix B)
6. Contact the College Archives for appropriate shipping labels and forms.
7. Contact the College Archives to arrange for the off-site storage vendor to pick up records.

After a records transfer has been received by the Archives, the bottom portion of the Records Transfer Form will be completed by Archives staff and returned to the originating office or department with an accession number. If items from a transfer are needed in the future, contact Archives staff with the assigned accession number and the box number for retrieval.
Connecticut College
Records and Retention Schedules

The following Records Retention Schedules are derived from the Public Records Administration Branch of the Connecticut State Library and best practices in records management adopted by peer institutions across the nation (particularly Yale University, Tufts University, and the Massachusetts Institute of Technology). These schedules are guidelines; they articulate minimum retention requirements. If an office actually uses particular records beyond their minimum retention requirements, the office’s retention can be adjusted as necessary.

The Records and Retention Schedules are arranged by function under senior administrative offices. All record types kept by all offices may not be listed. If there is a question concerning legal retention periods for an unlisted record type, please contact Archives staff for guidance. Offices may be referred to the College attorney as necessary.

Individual office retention schedules can be found in the complete Records Management Program Manual on CamelWeb, under Documents & Policies / Information Services / Records Management (http://bit.ly/2kyylob), or by contacting the Lear Center at learcenter@conncoll.edu.