

University of St Thomas Policies

POLICY TITLE: DOCUMENT RETENTION POLICY

Policy Number: G.06.05

I. SCOPE

All UST staff, administrators and faculty.

II. PURPOSE

UST is responsible for retaining paper and electronic documents in a safe and secure environment to ensure the basic values of accuracy, confidentiality, security and proper archiving. It is important for administrative personnel to know the length of time records should be retained to be in compliance. An effective document retention and destruction policy reduces the search, retrieval, and production costs of discovery when stored documents must be produced. When paper and electronic documents are organized the ability to foresee and react to potential documentation problems is enhanced. Taking preventative measures avoids a potential crisis situation later.

Proper and secure document destruction is important as well. Intentional document destruction must be carefully monitored. This policy is designed to eliminate accidental or innocent document destruction. In general, records may only be destroyed if all retention periods have expired, all audit requirements have been satisfied, there are no pending requests for information, and there is no foreseeable litigation involving the records. Any employee related disciplinary documents should be maintained until a finite conclusion has been made.

Furthermore, each vice president is responsible for seeing that departments under his/her purview have written document retention policies that include efficient organization of documents and oversight of document destruction and have secure areas for storing documents (whether paper or electronic). These policies should adhere to university needs, industry standards and federal, state and local mandates. Copies of these policies will be maintained in the individual departments as well as in the office of the appropriate vice president.

III. Areas of Responsibility

Vice President of Academic Affairs

- Student graded assignments
- Registrar records
- Sponsored Research records

- SACS records
- AACSB records
- Advising records
- Library records
- Archives records
- Human Research Committee records
- Hazardous materials disposal records
- Faculty records
- Student evaluations of faculty
- Institutional Research

Vice President of Student Affairs

- Student disciplinary records
- Counseling records
- CARE Team records
- Athletics records
- Residence Life records
- Security records

Vice President of Finance

- Business Office records
- Financial records
- Facilities records (including all health and safety records)

Vice President of Enrollment Management and Marketing

- Enrollment records
- Admissions records

- Financial Aid records
- Publicity documents

Vice President of Institutional Advancement

- Alumni records
- Major constituents
- Planned Giving records

Vice President of Information Systems

- Shared Governance documents

Associate Vice President of Administrative Services

- Personnel records

Miscellaneous

- Faculty Council/Senate document
- President's Office documents

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