

STATEMENT OF PURPOSE

For purposes of this policy, records do not include: miscellaneous or personal papers or correspondence done outside the scope of University employment or without official significance; extra copies of documents preserved only for convenience of reference; and versions of reports, memos, word processing files, superseded printed drafts and other such documents used to develop a final official record. An official record is (a) a record that has legally recognized and enforceable qualities that establish a fact, policy, institutional position or decision, or (b) a single official copy of a document maintained by an administrative unit, typically the original.

RETENTION AND DESTRUCTION OF RECORDS

Retention Schedules

University records must be retained for the amount of time prescribed in the Retention Schedules located at www.case.edu/its/archives/Records/retentionform.htm If the Office of Record believes that, in order to meet institutional needs, a given type of record should be retained for a longer period than the Retention Schedules require, the supervisor of that Office of Record should recommend a specific retention period to the Office of General Counsel. The Provost, Chief Financial Officer and Office of General Counsel will review such recommendation for approval. If the recommended retention period is approved, the Retention Schedule will be revised to reflect the recommended retention period.

The supervisor (or designee) of each Office of Record must educate its respective personnel regarding this policy and must enforce the provisions of this policy.

Departments that are not Offices of Record of certain records but which possess copies of such records are not responsible for retaining the records for the retention period and should dispose of the records when the records are no longer in active use by the non-official department.

Retention periods may change from time to time due to changes in the law, audit requirements or other factors. Any such changes supersede the requirements listed in this policy, although the website for this policy will strive to remain current.

Record Destruction

When the required retention period for a record has passed, the record must be destroyed as follows:

Paper Records Paper records should be either (a) discarded, preferably in recycle bins, if the records do not contain Confidential Information or (b) securely shredded or otherwise rendered unreadable if the records contain ANY Confidential Information.

Electronic Records Electronic records should be destroyed in the manner prescribed by the University's Chief Information Security Officer.

Faculty members who serve in both faculty and administrative roles (e.g., deans, chairs, department heads and directors) are strongly encouraged, but are not required, to destroy records relating solely to their faculty role (e.g., research records and teaching materials) in accordance with this policy. They are required to destroy records relating to their administrative functions (e.g., personnel records, student records and school operations records) in accordance with this policy. All other University personnel are required to destroy records in accordance with this policy.

ELECTRONIC RECORDS