

Records Management at Smith College

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1. Introduction and Policy Statement

This College policy on records management and retention is the result of the work of a task force appointed by the President to develop a comprehensive approach for managing and preserving College records. Approved by the Senior Staff, this policy applies to all records of the College and its related entities and is managed and implemented by the College Archives. This policy outlines responsibilities related to records management, preservation, retention and disposal.

Policy Statement: Smith College retains and preserves vital records of its business and operations to preserve an historical record of the College, to ensure current and future operations, and to comply with its legal obligations. The College will retain such records for a length of time that is appropriate to their nature and as is required by law.

2. The Smith College Archives

Currently the College Archives oversees the disposition of official records, an authority given to it in 1987. The Smith College Archives acts as a central entity for the storage of records that have long-term value as well as those records deemed of permanent and therefore archival value to the College. The Archives operates three sites complete with temperature and humidity controls, and a clean environment that reduces the risk of loss from exposure to physical conditions. The College Archives receives records for permanent storage. The Archives also has limited space to hold records during their 'retention period' for offices or departments that do not have room to store their own records before scheduled destruction. <http://www.smith.edu/libraries/libs/archives/>

As you read this policy, any word surrounded by quotations is defined in the policy and should be read with this definition in mind. *Definitions will be shown in **bold italics**.*

3. Definition of a 'record'

A 'record' is anything containing information reflecting College educational and business transactions regardless of format (paper, digital, photographic, etc.).

Typical records include official publications, fiscal data, incoming/outgoing correspondence including email, minutes of meetings, reports, and student files.

Not all records must be retained. The list below describes items in a typical office that are not classified as records and therefore do not need to be categorized or maintained. These materials may be destroyed at any time if they are no longer needed by the office holding them. These items will not appear on a 'retention schedule.'

- large quantities of duplicate materials and all duplicates of 'official copies'
- non-Smith published magazines and newspapers
- published reports produced by other entities
- purchased data from other sources
- blank letterhead or other blank forms
- routing slips or telephone messages
- catalogues, journals, or other printed matter used for informational purposes
- routine letters of transmittal and "for your information" notes
- notices or memoranda that give only 'timely information' such as a change of venue for a meeting
- notes or working papers once a project is completed, unless they provide more complete information than the final report

'Permanent' records, also called 'archival records,' are 'records' which have historical, administrative or research value to the College and which we intend to keep indefinitely. The College Archivist is responsible for ensuring that the College identifies these records and that they are transferred to the College Archives once they become 'inactive.' Examples of archival records include meeting minutes, architectural drawings, organization charts, real estate records, endowment agreements, student theses, selected faculty papers, committee work resulting in College policies, and photographs of events and buildings. The College Archivist assists in the identification and classification of records as archival.

Remember that a lot of material is not a 'record' at all and can be destroyed at any time. Once something is defined as a record it is either 'active' or 'inactive'. All 'active' or 'inactive' records will be listed on a 'retention schedule'. ***'Active' records are records that you generally refer to once a month. 'Inactive' records are records that you have not needed for at least one year.*** Unless these records have been defined as 'permanent' records they should be destroyed according to the time period shown on the 'retention schedule.' 'Inactive' records should be securely stored until the end of the 'retention period.' If an office lacks space to store 'inactive' records, College Archives has limited storage space to help with storage of these records. However, at the end of the 'retention period' the custodian of the records is responsible for the physical work of destroying the records.

4. Retention Schedules

A 'retention schedule' is a table describing categories of records, providing a length of time they should be kept and includes instructions for disposition. State or federal law may determine the period that certain records must be kept. The periods of time discussed in this policy are set to comply with federal and state law requirements.

Certain documents are vital to the reconstruction of College business in the event of a catastrophe. The College's Crisis Management Plan addresses many of the concerns related to how records are stored and maintained both during the period in which they are 'active' or 'inactive.' These files will be identified in the records retention schedules and should become a permanent part of the College Archives.

The General Retention Schedule at the end of this policy lists the most common records at the College and provides a retention period along with any special instructions related to disposal. Almost every department or office will have records requiring retention that are NOT on the General Retention Schedule. Records that are not on this schedule should be added on a case by case basis in consultation with the College Archivist.

The retention period is a minimum period of time for keeping records. Custodians may hold records longer than the retention period. However, College Archives does not have space for storage beyond the retention period and each custodian is responsible for ensuring storage is secure and under conditions that will preserve the record.

Certain units or offices within the College may find that there are professional standards dictating best practices for records retention. For example the Registrar's Office will adhere to the Family Educational Rights and Privacy Act in determining access to records and the format for keeping records. Student Financial Services will be bound by federal laws related to student financial aid. The General Retention Schedule incorporates the requirements of various laws as they apply to general categories of records.

5. Records Custodians

Everyone who creates records is responsible for managing those records while they are using them. Maintaining records in a safe, secure, and retrievable way is the primary responsibility of the creator while the record is serving its useful purpose. Sometimes the creator of the record will also be the official custodian.

*All records of the College have **an official 'custodian.'***

Custodians are expected to:

- * understand the records created within the department, office or unit*
- * follow this policy to make decisions on retention and disposition of records and provide guidance to others who are involved in preparing records for storage;*
- * be responsible for ensuring that everyone in the academic department, office, or unit is aware of the records management policy and follows it;*
- * consult the College Archivist on matters related to retention and disposition of records and develops the 'retention schedule' for the records of the academic department, office, or unit;*
- * establish the level of confidentiality and security appropriate to specific types of records and helps the department or unit maintain and monitor confidentiality and security.*

The custodian will work with staff in the College Archives to understand the application of this policy to the department's records and to develop a retention schedule. College Archives will provide training sessions and individualized help as needed for custodians. In some offices there will be more than one custodian because the nature of the records requires expertise to manage them properly. The custodian is not necessarily the person who created the record or who holds it during its 'active' life. The custodian may be the department or office head or someone else with authority to make discretionary decisions on the control of the records being produced. The responsibilities of the custodian should be added to job descriptions.

6. Official Copies and Duplicates

Most records will eventually have multiple copies in several offices and departments at the College. ***There is only one 'official copy' and the 'custodian' in the office holding the 'official copy' is the 'official custodian' and is responsible for its retention and possible classification as an archival record.*** Copies may be kept as long as they are useful unless the office, department or unit has the 'official copy.' For example, the Sponsored Research Office is the 'official custodian' of most grant proposals and technical reports required to be filed with granting agencies. All other copies of a grant proposal or technical report may be destroyed when no longer needed. The Sponsored Research Office is responsible for retaining the record for the period required by law or longer if appropriate. Whenever another office is designated as the 'official custodian' of a document, all other offices should consult with the official custodian before destroying records that the custodian is maintaining.

7. Committee Records and Responsibilities of Chairs of Committees

Chairs of all committees are the 'official custodian' of the records related to the committee's work. In general, all policy development, accrediting procedures, academic department curricular change activities, and other similar efforts create records which will be of interest to College Archives and result in 'permanent' records. A copy of such records should be sent to College Archives. See the General Retention Schedule for more information.

8. Personnel Records (see also the General Retention Schedule)

The 'official copy' of all records related to an employee are retained and maintained by the Human Resources Office for non-faculty employees and by the Dean of the Faculty/Provost's Office for faculty members. Departments and offices may keep duplicate copies for convenience, but all material that is kept by the department or office must be copied to the official custodian. See the General Retention Schedule for more information on personnel records.

Students who work in jobs that are NOT part of their educational experience are treated as all other employees for the purposes of record keeping. However, most students are paid to do jobs as a result of a financial aid award or as an integral part of their Smith education. In that case their employment information is maintained as a student record with the unique obligations associated with student records.

9. Employment Search Committee Records

At the end of a search, the chair of a search committee should collect from each member of the committee all files, notes, applications, recommendations and other material related to that search. This material should be reduced to one 'official copy' of each record with the

rest destroyed. All email and other electronic records should be printed and kept with other print documents and the e-copy deleted from the email system. All search committee members should delete all electronic files related to the search from their computers, email programs, and hard drives. In faculty searches the reduced paper file should be retained by the academic department making the hire for three (3) years and then destroyed. For all other searches the complete paper file should be sent to and retained by the Office of Human Resources.

10. Academic Department Records

Academic department and program 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. If a current chair maintains the records in his or her own office or on his or her own computer exclusively, the chair is responsible for transferring all electronic and paper records to the departmental assistant when his or her term as chair ends.

Record keeping and management should not begin anew with each chair transition. There should be an ongoing process of records management for the department/program. In the case of confidential materials in the possession of the chair, those should be marked as such (and placed in a sealed envelope if appropriate) and maintained within the department/program files. See the General Retention Schedule for information about personnel files, and section 11 below. The departmental assistant is a key link in long term maintenance of departmental records. The assistant 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's office.

11. Sponsored Research, Grants, External Support Records

Faculty members and other grantees will have files related to external support. There are special rules that apply to funds received from the Federal government and each grant may have its own set of rules and requirements related to records. All grantees are responsible for helping the College comply with these rules and requirements.

For faculty and others involved in research the Sponsored Research Office is the primary source of information and the official custodian for documents and records management. The SRO is the official custodian of the grant proposal, technical reports that are required to be filed and other documents related to the grant. The Controller's Office is the official custodian of the financial records and the granting documents related to the grant. Please refer to the offices of Sponsored Research and the Controller for specific guidelines related to grants and sponsored research: <http://www.smith.edu/deanoffaculty/sro.html>.

12. Faculty Professional Papers and Records

Academic departments are responsible for maintaining and helping to preserve information about curricular offerings and the history of the department as a teaching and research unit. Faculty members are encouraged to contact College Archives when they retire and to discuss the retention of their papers and records for historical preservation.

13. Records Destruction

Following a 'retention schedule' that has been worked out with the assistance of the College Archivist, records should be securely maintained for the period of retention either in the office or department where they were created or used or when space is a problem

transferred to the College Archives for storage. Records that have been identified as 'archival records' must be sent to College Archives for permanent retention. Records that will not be listed on a retention schedule and therefore may be destroyed at any time include:

- material that is not considered a 'record;' (see: Definition of a record)
- duplicates of an 'official copy' which is stored and retained by another office such as personnel records, financial and budget information, external grant funding, copies of information used in an employee search; and
- records that have served their purpose and are no longer needed such as drafts of reports and notes that have been turned into minutes of meetings.

When there is doubt about whether or not a record may be destroyed, the custodian should review the retention schedule, consult with the custodian of the 'official copy' of the record, if one exists, and consult with the College Archivist to ensure that there is no need to store or permanently archive the record. Each office should develop a policy approved by the College Archivist that guides this activity year to year.

Office records that have been transferred to College Archives for storage during the retention period must be destroyed by the office that sent them. Each office and academic department sending records to College Archives for storage is responsible for tracking when the retention period has ended.

The College Archives Web site has information about storing and retrieving files. Office records that have been placed in College Archives for permanent retention will be open for users according to the policies of the College Archives and within the discretion of the College Archivist.

Destruction includes:

Recycling – generally appropriate for all non-confidential paper documents, including public documents of other organizations, magazines, annual reports, newsletters, announcements, and drafts or policies or other memos which are not confidential.

Shredding – using a cross-cut or strip shredder for all documents that should not be read by others after they are no longer needed or that contain personnel or confidential information. This is essential for any document containing personal information, information that is student protected information under FERPA, health related information, or financial information. See: <http://www.smith.edu/registrar/policy.php>

The College contracts with a company called Infoshred LLC. Their bins are located in various buildings on campus including College Hall, Clark Hall, the Office of Admissions, Lilly Hall, and the Alumnae House. These bins are available only for permanent destruction of large volumes of confidential material, as the cost for this service is higher than the cost of disposing of shredded material. Offices that have never used these bins and who wish to use existing locations or establish new ones should contact Physical Plant.

14. Electronic Records

Many records are created and maintained in an 'electronic' format. These include documents on your computer's 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 such as the Novell H and P drives (network systems), and on removable storage media. It is important to remember that desktop applications are designed for communicating information, and transmitting knowledge. They make communicating with others more simple and efficient, but they are not designed for permanent retention of records. Issues of file authentication, version-control, duplication, maintenance, access and permanency are more acute with electronic records.

Any electronic record that needs to be kept for a retention period longer than seven (7) years should be printed and kept in a paper filing system OR maintained in an electronic format and the equipment needed to read or access the information kept and maintained for the same period of time. For retention periods shorter than seven (7) years it is believed that storage on DVD or CD format will be reliable and readable. Any electronic record that merits permanent retention should be maintained electronically AND printed and kept in a paper filing system. An electronic file that has permanent value to the College should be printed and transferred to College Archives. Records that are maintained only in electronic format should be named and labeled in a manner that is consistent with the paper filing system used in the office for ease of coordination and cross-referencing.

15. Banner and Other Data Systems

The Banner data system is the College's largest electronic data system. College-wide electronic data systems generally contain information that if lost, corrupted or disclosed without authorization could result in the impairment of business functions at the College. In addition some data on these systems contain private data that if lost, corrupted or disclosed without authorization could also result in claims involving invasion of personal privacy, loss of reputation or creditability, and violation of federal or state laws or regulations or College contracts. These systems are generally only made available to approved users. Examples include the Banner financial system, admissions records, financial aid records, the registrar's records and alumnae/donor biographical and gift data.

All data in Banner or any other data system will have an individual responsible for the integrity of the data in the system. That person is responsible for verifying that electronic data and the record created from the data have not been inappropriately altered, in other words can verify that it is authentic. He or she is responsible for ensuring adherence to policies about access, loss prevention and security to prevent corruption.

The Banner data system is backed-up by the College in order to ensure business continuation in the event of a disaster or crisis. Therefore, individual offices only need to retain their copies of Banner information while they are useful. One notable exception involves special compilations of data that offices or departments may create using data from Banner. 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 the purchase and any agreement needed about backing-up the data system with ITS.

All College faculty, staff and students entrusted with electronic data must adhere to these practices:

- Keep data secure against unauthorized creation, updating, processing, outputting and distribution;
- 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; Develop policies related to 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;
- When creating reports from data bases, maintaining the same level of confidentiality in the report as exists for protection of the original data.
- Reports containing private or confidential data should be disposed of properly which means shredding all paper copies and 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.

16. Electronic Mail

Electronic mail should be treated like any other electronic record. Mail that has information that should be retained according to a 'retention schedule' should be printed and filed as would any other paper record. Email is not 'backed-up' centrally. Each email user is responsible for retaining email containing important information. The "files" embedded in your GroupWise account are NOT permanent storage and should not be used for permanent or long-term storage purposes. For more information please see the official College policy on electronic mail: http://www.smith.edu/its/about_its/email_policy.html and www.smith.edu/its/tara/groupwise/archiving.html

Finally, saving email using the 'save as' function in GroupWise saves the content as a Word file but does not save the embedded data in a regular email that gives the properties of the message, such as the identity of the sender's computer, or the route the message took before arriving in your mail box. Saving email as archived mail does preserve these properties and may be important if there is ever a dispute about the origin of the email. It is like saving the envelope that comes with a letter via the postal service. Therefore, email correspondence related to contracting and other activities in which verification of the sender is important should be archived as email for the retention period if possible.

17. College Archives Storage

Using the 'records retention schedule' developed for each office, the records 'custodian' and the College Archivist should discuss what records may be transferred to the College Archives for either storage during the retention period or permanent retention. If certain records do not fall under the retention schedule, the records custodian and College Archivist should discuss access and disposition BEFORE material is sent to the Archives.

Procedures for transferring records to the College Archives are found at: <http://www.smith.edu/libraries/libs/archives/>. In general, records that are sent to the College

Archives and are not of permanent value are open only to the original office sending the records. Individuals from other offices may request access to these records by submitting the request in writing to the office of origin. Any records, reports, publications, etc., that have been widely disseminated are open to all users. Records of permanent value are open ten (10) years after the date of creation. Minutes of meetings, such as faculty minutes and academic departmental minutes are restricted for seventy-five (75) years, unless otherwise agreed to between the College Archivist and the Provost. Other permanent records will be available according to the policies of the College Archives and within the discretion of the College Archivist.

18. Records Related to Web sites

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.

19. Legal Claims – Litigation Holds

If a legal claim is reasonably anticipated or is filed, or a lawsuit begun, the affected offices should immediately contact the office of the General Counsel. The General Counsel's office will issue instructions to keep all records and data systems until further notice. This instruction overrides all standard and existing practices with respect to record destruction and storage. In some cases the General Counsel's office will ask that all relevant documents be given to that office for maintenance during the duration of the legal matter.

20. Contact Information

Questions about retention schedules,
storage at archives, policy interpretation
Nanci Young
College Archivist
(413) 585-2976
nyoung@email.smith.edu
<http://www.smith.edu/libraries/libs/archives/>

Questions about Infoshred services
Bob Dombkowski
Supervisor - Grounds Section
(413)585-2459
bdombkow@email.smith.edu.

Questions about legal matters
Georgia Yuan
General Counsel
(413) 585-2135
gyuan@email.smith.edu

Questions about the Banner data system
Yvonne Ting
Director of Administrative Software
Systems & Technology
(413)585-3081
yting@email.smith.edu

Questions about electronic documents and
email archiving
Ben Marsden
Director of Systems & Technology Services
(413)585-4479
bmarsden@email.smith.edu

General Retention Schedule

This schedule will NOT include all records that should be on a schedule. Custodians should consult with the College Archivist to develop a retention schedule for records not mentioned here.

This schedule applies to all types of records, regardless of media or format, including documents, email, photographs, audiotapes, videotapes, CDs, and DVDs. Retention periods reflect minimum time periods.

Records may be retained for longer periods of time at the discretion of the custodian or as required by legal counsel.

Do not destroy any records while they are subject to audit, investigation, or where investigation is probable.

Records that are in storage areas such as basements, warehouses, or backrooms, are often at risk of water damage, destruction, theft, or confidentiality or other security breach and should be evaluated in light of this schedule.

Financial Records

Questions: Controller, (413) 585-2200

General Type	Description	Retention Period	Comments
Financial Records	Budget worksheets, printouts, account books, ledger, purchase records, purchase orders, travel expense reports	7 years following the activity	The Controller's Office is the official custodian of these records. If the Controller's Office has a copy of the record, the department may destroy its duplicate at the close of the budget reconciliation period.
Financial Records	Warranty information, purchase orders with contractual terms	7 years following the date of purchase or 7 years following the end of the warranty period whichever is later	
Financial Records Debt Financing	All documents related to debt financing	20 years following the period of debt repayment	The Controller's Office is the official custodian of these records.
Financial Records Procurement Cards	All documents related to procurement card purchases	7 years following the date of purchase or 7 years following the end of the warranty period whichever is later	All offices and academic departments with procurement cards are the official custodians of all records related to purchases made with the procurement card.

Personnel Records

Questions: Larry Hunt, Executive Director Human Resources, (413) 585-2262,
lhunt@email.smith.edu

General Type	Description	Retention Period	Comments
<p>Personnel Records</p>	<p>The official personnel record must contain:</p> <ul style="list-style-type: none"> • the employee’s name, address, and date of birth • job title and description • rate of pay and other compensation paid • starting date of employment; job application, resumes, or other forms of employment inquiry submitted by the employee to the employer in response to the employer’s advertisement; • performance evaluations including lists of probationary periods, • waivers signed by the employee • written warnings of substandard performance • termination or separation notices • documents related to disciplinary action <p>All records related to non-faculty employees should be copied to HR, which is the official custodian of the personnel file.</p> <p>All records related to faculty members should be copied to the Dean of the Faculty/Provost’s Office, which is the official custodian of the file.</p> <p>Duplicates may be retained in the department or unit office for convenience.</p>	<p>7 years after the last date of employment</p> <p>Department or unit should send all of its records to HR for non-faculty employees or to the Dean of the Faculty/Provost’s office for faculty at the end of the retention period if there is any doubt that the record is a duplicate.</p> <p>Duplicate records should be destroyed at the end of the retention period.</p>	<p>By law the ‘personnel record’ does not include “information of a personal nature about a person other than the employee if disclosure of the information would constitute a clearly unwarranted invasion of such other person’s privacy.” (Mass. Gen. L. c. 149, § 52C)</p> <p>All records related to employees must be maintained in a secure location and only accessed by others who must use them to do their jobs.</p> <p>Destruction of records in this category should only be by shredder or other means that will make them unreadable.</p> <p>NO medical records should be maintained in offices outside of Human Resources or the Dean of the Faculty/Provost’s Office.</p> <p>The Office of Human Resources has a detailed retention schedule for personnel records it maintains.</p>
<p>Faculty Personal and Professional Papers</p>	<p>Records related to faculty research, teaching, creative work or other materials used by the faculty member.</p>	<p>Permanent</p>	<p>Faculty members are encouraged to contact College Archives upon retirement because these records often have permanent value to the College.</p>

Personnel Records (continued)

Questions: Larry Hunt, Executive Director Human Resources, (413) 585-2262,
lhunt@email.smith.edu

General Type	Description	Retention Period	Comments
Faculty Appointment, Reappointment, Tenure and Promotion	All records related to appointment and subsequent history of individuals to join the faculty, including correspondence.	7 years following retirement or departure from the College	<p>Before destruction these records should be evaluated by College Archives for historical value.</p> <p>Destruction of records in this category should only be by shredder or other means that will make them unreadable</p>
Personnel Search Faculty Search	Vacancy announcement, advertisements, applications, evaluations, references, correspondence, email and all documents or material related to the search.	3 years following the successful hire or close of the search without a hire	<p>The chair of the search committee is responsible for keeping and organizing a record of the search and for ensuring the destruction of duplicate copies.</p> <p>Destruction of records in this category should only be by shredder or other means that will make them unreadable.</p>
Personnel Search Non-faculty Search	Vacancy announcement, advertisements, applications, evaluations, references, correspondence, email and all documents or material related to the search.	Office of Human Resources retains for 3 years following the successful hire or close of the search without a hire	<p>The chair of the search committee is responsible for keeping and organizing a record of the search, transferring it to the Office of Human Resources and for ensuring the destruction of duplicate copies.</p> <p>Destruction of records in this category should only be by shredder or other means that will make them unreadable.</p>

General College Records

Questions: Nanci Young, College Archivist, (413) 585-2976, nyoung@email.smith.edu

General Type	Description	Retention Period	Comments
College Policies and Procedures	Forms, procedure manuals, guides, handbooks, etc.	Destroy when they are no longer in effect. College Archives will retain policy documents permanently.	The department, office or unit creating the record should provide a copy to College Archives for evaluation.
Projects, Programs, Proposals	Notes from meetings, reports, conceptual documents, financial support, all records related to projects or programs developed by non-academic offices	Retain until a project has been completed and evaluate for permanent retention in College Archives.	
College-wide Committee Records	<p>Minutes, reports and other materials generated by College-wide committees including charges, substantive correspondence and work product, and reports and documents about or related to the operation of college-wide committees or other offices around the college.</p> <p>Examples– efforts leading to accreditation of the College and its programs, college-wide strategic planning, commencement, Rally Day and Otelia Cromwell Day celebrations.</p>	Permanent in College Archives	<p>The chair of each College-wide Committee is responsible for keeping and organizing a record of the Committee's work and final recommendations and subsequent policy implementation and for transferring the records to College Archives.</p> <p>Participants on such committees should help the chair develop a complete record of the committee's work for transfer to College Archives.</p>
President's and Senior Administrative Officers' Records	Records related to the functioning of senior administrative offices including calendars, memoranda, correspondence, speeches, memorabilia, photographs, Web site information, etc	Permanent	Send to Archives on a regular schedule.

Student Records

Questions: Tricia O'Neil, Registrar, (413) 585-2550, toneil@email.smith.edu

General Type	Description	Retention Period	Comments
Student Records Registrar	Student grades, transcripts and personal information(addresses, phone numbers, etc)	Permanent Send to Archives on regular schedule	The official custodian is the Registrar of the College or the Registrar of the School for Social Work. See: http://www.smith.edu/registrar/ http://www.smith.edu/ssw/oas/oas/studentrecords.php
Student Records Class Deans Office	Applications, transcripts, acceptance letters, transfer records for students who have matriculated, advising record, honor board records, related correspondence, other material at the discretion of the class deans.	7 years after graduation or voluntary withdrawal	At the end of the retention period the College Archivist may sample a class for permanent retention.
Student Records Graduate Students	Applications, transcripts, acceptance letters, including scholarship and fellowship information (addresses etc.), correspondence, all other materials pertaining to student status and activity while enrolled.	7 years after graduation or voluntary withdrawal	The Dean of the Faculty/Provost's Office maintains and is responsible for student records related to graduate students outside of the School for Social Work.
Student Records Financial Aid	Records showing evidence of providing financial aid including financial aid applications, federal student aid forms, federal tax forms, award letters and confirmations, verification records, interview records, student scholarships, fellowships, and awards	7 years after graduation or separation. (Federal Regulation)	Before destroying records related to special awards or scholarships College Archives should evaluate for permanent retention. Destruction of records in this category should only be by shredder or other means that will make them unreadable.
Student Records Health Clinic and Counseling Service	Student clinic health histories, visit documentation and charts, medical notes, immunization records of students entering the College and related correspondence.	30 years (Mass. Gen. L. c. 111 § 70) All records not listed under description, 7 years after graduation or permanent separation	Destruction of records in this category should only be by shredder or other means that will make them unreadable. http://www.smith.edu/health/general.html

Student Records (continued)

Questions: Tricia O'Neil, Registrar, (413) 585-2550, toneil@email.smith.edu

General Type	Description	Retention Period	Comments
Student Records Student Discipline	Records related to proceedings and decisions resulting from violations of the student code of conduct, honor code, or other College policies	Expulsion records: 25 years. All other records: 7 years after graduation or separation	Destruction of records in this category should only be by shredder or other means that will make them unreadable.
Student Records Athletic Participation	Records, including photographs, awards, etc related to student participation in athletics.	Permanent: summary documentation, All other records: 7 years after graduation or separation	
Student Activities and Government	<p>Records related to student participation in special activities, student clubs, associations, and the Student Government Association.</p> <p>Records of the Student Radio Station have permanent value and should be archived.</p> <p>Records related to the Sophian and other student publications.</p>	<p>Permanent: final publications, photographs, artwork, memorabilia, policies and administrative records.</p> <p>All other records 3 years after their administrative use ceases.</p>	Permanent records should be sent to College Archives on a regular schedule.
Student Records Career Development Office	Records related to an individual student	3 years after administrative use ceases	Policies and other contractual documents should be viewed under other retention schedules.

Academic Department Records

Questions: Associate Dean of the Faculty, (413) 585-3017
(see also Financial Records)

General Type	Description	Retention Period	Comments
Academic Departments General Office records	Records related to the routine daily administration of the department including memos, departmental meeting minutes, administration of courses and programs, and correspondence.	Until no longer administratively useful	See note in the Records Management Policy on department chairs and records management. Before destruction these records should be evaluated by College Archives for historical value.
Academic Departments Curricular Records	Course and curricular records including records pertaining to the planning, teaching and evaluation of courses.	Permanent	Send to Archives on a regular schedule.
Academic Departments Curricular Records	Minutes, reports, memos, etc. related to intra-departmental meetings. Department committee records including minutes, reports, memos generated by committees.	Until no longer administratively useful	Reports related to significant changes in how the department functions should be reviewed with College Archives for historical value before destruction.

Contract Records

Questions: Controller, (413) 585-2200, or
 Georgia Yuan, General Counsel, (413) 585-2135, gyuan@email.smith.edu

General Type	Description	Retention Period	Comments
Contracts Construction and Renovation	Records related to construction and renovation of real property.	Permanent	Send to Archives on a regular schedule.
Contracts Negotiation Records Executed Contracts, Attachments, Amendments	<p>Records related to the process to enter into a contract or agreement, or understanding including background support materials, drafts, memos, letters, and related correspondence.</p> <p>The contract itself and all attachments and amendments to it including correspondence, reports, warranty information, photographs and records of deliverables.</p>	<p>Where contracts and agreements were finalized: 7 years after contract expiration. 20 years for contracts signed 'under Seal.'</p> <p>All other records: retain until administrative use ceases</p>	<p>Some contracts are signed "as though under Seal." These contracts have 20 years during which the contract can be enforced or challenged following their completion. All other contracts may only be challenged or sued upon for a period of 6 years following their completion.</p>
Grant and Contract Administration	<p>Records related to the administration of federal and other grants, contracts, sponsored research projects, and agreements from negotiation to final performance such as grants-in-aid, state contracted services, and vendor contracts. Includes negotiation issues documentation, memos of understanding, agreements, contracts, amendments, terms and conditions, budget proposals, and related correspondence.</p>	<p>7 years after final payment or completion of all obligations under the grant or contract and all subsequent renewals whichever is later.</p> <p>Summary records such as proposal, award letter and selected deliverables and reports: Permanent.</p>	<p>This category does NOT include Capital Construction which should be retained permanently.</p> <p>Records related to proposals that were not funded may be kept as long as administratively useful, and then destroyed.</p>