



Records Management 3: The Retention Schedule

University Archives

What Is a Retention Schedule

- A tool to manage records
 - It lists University office records and assesses a value to them that indicates how long they will be kept and what their final disposition will be.
- Identifies and preserves records of permanent value
- Identifies obsolete records and authorizes their destruction.

Manages Records

- Classifies the records into family groups (series).
- Assigns a record value to each series (retention period).
- Reduces the possibility of incurring legal action for improperly retaining or disposing of records.
- Increases the efficiency of records.
 - Reduces file bulk and storage space and makes room for active records.

Example from the Retention Schedule

Commencement Records

This record series documents commencement planning and implementation. Records may include but are not limited to commencement attendance forms; commencement committee minutes and planning information, commencement speeches, programs, and related documentation and correspondence.

Retention: Permanent. Transfer to the UArchives for appraisal after 5 years.

Executing the Retention Schedule

- Review your paper and electronic records at the end of each academic year.
- Transfer records to the Archives if instructed.
- Destroy records whose retention periods have been fulfilled.
- Assist the University Archivist in setting retention periods for unscheduled records.

Follow Recommended Retention Periods

- Resist the temptation to keep records past the approved retention period “just in case you need them.”
- Records are subject to subpoena and discovery.
- Penalties can be assessed in audit cases as far back as records are available.
- Remember to review and purge electronic records too.

Legal or Audit Holds

- Exception to mandatory destruction of records occurs when action involving a record is initiated, impending, or imminent:
 - Litigation
 - Audit
 - Claim
 - Criminal or civil investigation
 - Administrative review
- Suspend the retention schedule until completion of action or resolution of all issues.

Location of the Records Retention Schedule

- The Records Retention Schedule is located on the Intranet under “library.”
- It is also found under Policies and Procedures

Consult the Archivist for guidance

The University Archivist is responsible for creating and implementing the Records Retention Schedule:

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