Westminster College

Retention of College Records

Policy Statement

Westminster College requires that different types of records be retained for specific periods of time, and has designated official repositories for their maintenance. These records must be managed according to procedures that are outlined in this document.

Reason for Policy

The college is committed to effective records retention to preserve its history, meet legal standards, optimize the use of space, minimize the cost of record retention, and ensure that outdated and useless records are destroyed.

Who Should Read This Policy

- Deans, Directors, and Department Heads
- Administrative staff responsible for the maintenance of college records
- Anyone accessing college records

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Employee Handbook, section 207, Access to Personnel Files
Employee Handbook, section 801, Confidentiality
Faculty handbook, section 2.4, Personnel Records
Student Handbook, section VII, Family Educational Rights & Privacy Act (FERPA)

Contacts

Direct any questions about this policy to your department’s director or chair. If you have questions about specific issues, call the following offices:

<table>
<thead>
<tr>
<th>Subject</th>
<th>Contact</th>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td>College Archives</td>
<td>See Note Below</td>
<td>592-5183</td>
</tr>
<tr>
<td>Churchill Memorial Archives</td>
<td>Churchill Memorial Curator-Archivist</td>
<td>592-5183</td>
</tr>
<tr>
<td>Electronic Media Storage</td>
<td>Computer Services</td>
<td>592-5289</td>
</tr>
<tr>
<td>Library College Archives</td>
<td>Library Services Archivist</td>
<td>592-5367</td>
</tr>
<tr>
<td>Microform Preservation</td>
<td>Library Services</td>
<td>592-5289</td>
</tr>
<tr>
<td>Permanent Storage of Inactive Records</td>
<td>Academic Dean’s Office</td>
<td>592-5212</td>
</tr>
<tr>
<td>Policy Clarification or Exceptions</td>
<td>Director of Human Resources &amp; Comp</td>
<td>592-5226</td>
</tr>
<tr>
<td>Records Management</td>
<td>Director of Human Resources &amp; Comp</td>
<td>592-5226</td>
</tr>
</tbody>
</table>

NOTE: The College currently does not have a College Archives, as such, or a College Archivist. Each college office, therefore, is responsible for retaining, destroying, and archiving records based on this policy. The Director of Human Resources, in concert with the Library Services Archivist, the Memorial’s Curator-Archivist, and other members of the Records Retention Advisory Group (see the “Definitions” Section of this document), can play a consulting role for other departments if there is a question regarding archiving department records.

Definitions

These definitions apply to these terms as they are used in this policy:

**Active Record** - a record with current administrative use for the unit that generated it. Records remain active for varying numbers of years, depending on the purpose for which they were created. An “active record” can be placed in storage due to space limitations prior to destruction or archiving.

**Archival Record** - a record that is inactive; not required to be retained in the office in which it originated or was received; and has permanent or historic value. Archival records are retained and preserved indefinitely in the appropriate department archives.
College Archives – currently does not exist (see note above). A College Archives promotes knowledge and understanding of the college’s origins, aims, programs, and goals; and facilitates effective records management. This includes permanent retention of official records and reports of the college, its officers and component parts; maps and architectural records; audiovisual materials including still photographs and negatives, motion picture film, oral history interviews, audio and video tapes; and artifacts and ephemera documenting the college’s history. Since the College does not have a College Archives, as such, each department is responsible for taking on this role as the “Official Repository” for all records as outlined in the “Record Retention Schedule” (see the “Definitions” Section of this document).

College Record - the original copy of any record. Official repositories for these records are identified in the Records Retention Schedule of this document. College records comprise all recorded information that are created or received in the course of official College business and that documents the administrative transactions and activities of any College office or employee. These records are the property of Westminster College.

Department Archivist – the department archivist is a delegated position within a department wherein the individual in the position is responsible for 1) designating which official college records are archival; and 2) effecting the transfer of archival records from the office in which they originated or were received to the department archives at such times and in the manner and form prescribed by the department and this policy, and subject to the appropriate retention and disposition schedules that are outlined in this document.

Library Archives - a component of Reeves Library that serves as the institutional memory of the College by taking responsibility for identification and preservation of some official records of the College, such as bulletins, catalogs, and other administrative records. Due to space limitations, the Archives staff has determined to restrict its collection to materials that relate to the College and its history, but which are not considered part of the official records (see Appendix A - Reeves Library/Westminster College Archives Collection Procedures).

Memorial Archives - a component of the Winston Churchill Memorial and Library that promotes knowledge and understanding of the life and times of Sir Winston Churchill and the Memorial’s origins, aims, programs, and goals; and facilitates effective records management. This includes permanent retention of official records and reports of the Memorial, its officers and component parts; maps and architectural records; audiovisual materials including still photographs and negatives, motion picture film, oral history interviews, audio and video tapes; and artifacts and ephemera documenting the life and times of Winston Churchill and the Memorial’s history.

Official Repository - the unit, or retention group, designated as having responsibility for retention and timely destruction of particular types of official college records. Such responsibility is assigned to the unit’s Cabinet member, director, department chair, or designee (see definition for Department Archivist, and see appendix of Record Retention Responsibilities).

Records Retention Advisory Group (RRAG) - a group formed to develop and support a program for administering the institutional records of Westminster College pursuant to applicable state and
federal laws and for archiving records of the college and the Churchill Memorial in a way that shall apply efficient and economical management methods to the creation, utilization, maintenance, retention, preservation, and disposition of the records of the college and the Memorial. The RRAG can be used in a consulting role by departments in regards to determining archival value of department records.

Records Retention Schedule - a detailed listing of all records by functional activity maintained by the college. There are eleven functional activities, to include: accounting, administrative, education, environment, financial, legal, marketing, miscellaneous, personnel, public affairs, and reference. The schedule describes each record and identifies the length of time that each is to be retained, the disposition of the record, and the department responsible for maintaining the record (see Appendix A, Record Retention Responsibilities).

More on Records – What They Are, and What They Are Not

What Records Are

- Records are recorded information, regardless of the medium or characteristics, made or received by the college that are useful in the college’s operations. They are, in effect, the memory of the organization.
- Records include contracts, research records, work orders, student files, purchase orders, photographs, drawings, or other documentary materials, regardless of the physical form or characteristics, made or received for legal and operational purposes in connection with the transactions of doing college business and functions.
- A record may be in the form of paper, microfilm, computer tape, word processing disk, videotape, optical disk, or any other unique form. Regardless of the form, the recorded information is the record and the medium only contains the information.

What Vital Records Are

Vital records are those that are essential:

- To continue college operations
- To recreate the college’s legal and financial position
- To preserve the rights of the college, its employees, and taxpayers.

They must be adequately protected from loss due to accident, fire, flood, sabotage, etc.

What Records Are Not

The following items are generally not records:

- Stocks of publications and printed brochures.
- Library materials acquired and preserved for reference, including text books, periodicals, and other technical reference materials.
- Quasi-official notices, unsolicited announcements, evidence of office or college operations.
- Preliminary drafts, worksheets, memoranda, and informal notes that do not represent significant steps in the preparation of record documents.
- Routing slips that contain no pertinent information or approvals, used to direct the distribution of papers and correspondence.
- Extra copies of records in addition to the “college record” (see the "Definitions" Section of this document) contained elsewhere.
- Duplicate copies of records maintained as reading, convenience, tickler and identical copies maintained with the “official/copy of record” records are non-records if they are maintained only for reference and convenience and do not contain additional information.
- Blank forms, files, and office supplies or other items that can be found in an office.

Overview

Westminster College requires consistent treatment of records. Maintenance, retention, and disposal procedures for college records (see the "Definitions" Section of this document) must be followed systematically by staff in designated official repositories.

In addition, duplicate or multiple copies of these records, retained in locations other than official repositories (see the “Definitions” Section of this document), must also be disposed of when they are outdated and no longer useful.

This policy is intended to ensure that the college:
- meets legal standards;
- optimizes the use of space;
- minimizes the cost of record retention;
- preserves the history of the college;
- destroys outdated and useless records.

Procedures

Responsibilities for Managing Official College Records

Departments and units, to include committees, that maintain college records are called “official repositories.” These administrative units are responsible for establishing appropriate record retention management practices. Each unit’s administrative manager or a designee must:

- implement the unit’s and/or office’s record management practices;
- ensure that these management practices are consistent with this policy;
- educate staff within the administrative unit in understanding sound record management practices;
- preserve inactive records (see the “Definitions” Section of this document) of historic value, and transfer those records to the appropriate department archives. All records preserved, shall remain the records of the office of origin and may be withdrawn at any time by that office for its own use;
- ensure that access to confidential files is restricted. Long term restrictions on access to selected archival records should be negotiated at the time of their transfer to the appropriate department.
archives. It is understood that in the absence of specific restrictions, all materials transferred to the department archives will be open to researchers on a non-discriminatory basis;

- destroy inactive records that have no archival value upon passage of the applicable retention period, and record destruction on the College Transfer Report (See the “Forms” Section of this document).

If you have any questions about your responsibilities, contact the Director of Human Resources (see the “Contacts” Section of this document), who will work closely with you to ensure understanding of this policy and implementation of these responsibilities.

Preserving or Disposing of Official College Records

When the prescribed retention period (see Records Retention Schedules, which follow) for official college records has passed, a determination of whether to preserve or dispose of the documents must be made. To decide if the record is of historic value to the college, consult the Director of Human Resources who, in deliberation with the Library Archivist, the Churchill Memorial Curator-Archivist, and other members of the Record Retention Advisory Group, has the authority to designate which records are archival.

- **Option A - Archival Records**

If you have determined that the records are archival, they may be transferred to the appropriate department archives (see the “Definitions” Section of this document). Contact your department’s designated archivist to:

1. Review records to be sent to department archives.
2. Request archival or storage boxes from the Bookstore. The type and size of box will be determined by the item(s) being stored. The Bookstore can advise you on this.
3. Complete a Westminster College Transfer Report form (See the “Forms” Section of this document) and file it appropriately in your department.
4. If you need assistance with the records, schedule a time with Plant Operations for boxes to be picked up. Otherwise, store them in the designated department archives.

- **Option B - Non-archival Records**

If you have determined that it is appropriate to dispose of the records, destroy them in one of the following ways:

1. Recycle non-confidential paper records.
2. Shred or otherwise render unreadable confidential records.
3. Erase or destroy electronically stored data.
4. Complete a Westminster College Transfer Report form (See the “Forms” Section of this document) and file it appropriately in your department.
Caution: Periodically review records generated and maintained in college information systems or equipment (including mainframe, mini, and micro computing/storage systems) to ensure that these requirements are met.

Records Retention: Location and Duration

Records Retention Schedules, which follow, list the official repositories (retention group) for college records as well as how long these records must be retained.

Record retention periods may be increased by government regulation, judicial or administrative consent order, private or governmental contract, pending litigation, or audit requirements. Such modifications supersede the requirements listed in this policy. Suspension of record destruction required by any of these reasons will be accomplished by a notice sent out to affected units by the Office of the President, the Office of the Academic Dean, or the Business Office.

Note: No document list can be exhaustive. Questions regarding the retention period for any specific document or class of documents not included in these tables should be addressed to the Director of Human Resources.

Caution: Departments and units that are not official repositories and that retain duplicate or multiple copies of these college records should dispose of them when they are no longer useful.

Westminster College welcomes the offer of privately owned material bearing on the history of the College, provided that the College incurs no obligation to retain such material as an integrated collection or in any prescribed form.

Deleted all of the following but am saving for possible future reference. This material came from the Reeves Library Archives Collection Policy.

Records Authority Statement and Guidelines

Westminster College recognizes the need to preserve official college records, files, and documents of permanent value. All administrative officers of the college, and members of the teaching faculty whose performance of administrative duties, e.g., committee responsibilities, or chairs of academic departments, put them in possession of files, records, or documents concerning their official duties, are expected to observe the following guidelines:

1. The records of the official activities of the college officers and offices, including papers and correspondence, official printed material, minutes, committee files, financial, and associated records in any format, are the property of Westminster College and constitute official records material.
2. Records material in college offices may not be destroyed, placed in storage, or archived without the approval of (a) the officer supervising the department where the records accumulate, or (b) if required, the RRAG.

3. The officer in charge of the department where the records accumulate, or the officer in charge of the records of official committees, in consultation with the appropriate Cabinet Officer and/or the RRAG, and in compliance with state and federal laws and this policy, will be responsible for deciding how long inactive papers are to be retained in and under direct control of the office, prior to disposition (i.e., destruction or transfer to storage or archives).

4. Material selected for records retention shall be sent to the appropriate department storage or archival area in accordance with the records retention schedule, in consultation with the officer in charge of the department where the records accumulate and, when necessary, the RRAG. All records preserved, shall remain the records of the office of origin and may be withdrawn at any time by that office for its own use.

5. The appropriate administrative officers shall consult with the RRAG regarding any special conditions of access which may be placed on any category of records. It is understood that in the absence of specific restrictions, all materials transferred to the department archives will be open to researchers on a non-discriminatory basis.
## Appendix A – Record Retention Responsibilities

<table>
<thead>
<tr>
<th>Type of Record</th>
<th>Official Repository</th>
<th>Responsible Manager(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Accounting</td>
<td>Business Office</td>
<td>VP for B&amp;F</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Dir of Accounting Services</td>
</tr>
<tr>
<td></td>
<td>Business Office</td>
<td>VP for B&amp;F</td>
</tr>
<tr>
<td>2. Administration</td>
<td>Academic Dean’s</td>
<td>Sr. VP of the College</td>
</tr>
<tr>
<td></td>
<td>Office</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Student Life</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Enrollment Services</td>
<td></td>
</tr>
<tr>
<td>3. Education</td>
<td>Academic Dean’s Office</td>
<td>Sr. VP of College</td>
</tr>
<tr>
<td></td>
<td>Student Life</td>
<td>VP and Dean of SL</td>
</tr>
<tr>
<td></td>
<td>Enrollment Services</td>
<td>VP and Dean of ES</td>
</tr>
<tr>
<td></td>
<td>Business Office</td>
<td>VP for B&amp;F</td>
</tr>
<tr>
<td></td>
<td>Business Office</td>
<td>VP for B&amp;F</td>
</tr>
<tr>
<td>4. Environment</td>
<td>Plant Operations</td>
<td>Exec Dir of Plant Ops</td>
</tr>
<tr>
<td></td>
<td>CSC Lab</td>
<td>Lab/Environ Health &amp; Safety Mgr</td>
</tr>
<tr>
<td>5. Finance</td>
<td>Business Office</td>
<td>VP for B&amp;F</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Dir of Accounting Services</td>
</tr>
<tr>
<td>6. Legal</td>
<td>Business Office</td>
<td>VP for B&amp;F</td>
</tr>
<tr>
<td>7. Marketing</td>
<td>Enrollment Services</td>
<td>VP and Dean of ES</td>
</tr>
<tr>
<td></td>
<td>Institutional Advancement</td>
<td>VP for IA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Exec Dir of Alumni &amp; College Relations</td>
</tr>
<tr>
<td>8. Miscellaneous</td>
<td>All Cabinet Areas</td>
<td>Cabinet Members</td>
</tr>
<tr>
<td>9. Personnel</td>
<td>Business Office</td>
<td>VP for B&amp;F</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Dir of HR</td>
</tr>
<tr>
<td>10. Public Affairs</td>
<td>Enrollment Services</td>
<td>VP and Dean of ES</td>
</tr>
<tr>
<td></td>
<td>Institutional Advancement</td>
<td>VP for IA</td>
</tr>
<tr>
<td></td>
<td>Library</td>
<td>Exec Dir of Alumni &amp; College Relations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Director of Library Services</td>
</tr>
<tr>
<td>11. Reference</td>
<td>All Cabinet Areas</td>
<td>Cabinet Members</td>
</tr>
</tbody>
</table>
Appendix B - Reeves Library/Westminster College Archives Collection Policy

The Archives in Reeves Library serves as the institutional memory of the College by taking responsibility for identification and preservation of some official records of the College, such as bulletins, catalogs, and other administrative records. Due to space limitations, the Archives staff has determined to restrict its collection to materials that relate to the College and its history, but which are not considered part of the official records. Established before the Civil War, Westminster College has accumulated a vast array of material in various media, documenting the history of its existence from 1851 to the present, to include:

- The greater portion of its holdings consist of history in the form of material documenting student life, such as college publications, records of student government and organizations, student publications, records of class activities and reunions, plus selected biographical information about alumni/ae.
- The College also preserves a less official record of the college experience by soliciting students’ letters, diaries, course notes, photographs, and memorabilia. The result is a remarkable collection of primary sources dating to the earliest days of the College.
- There also are masters’ theses, manuscripts, personal and professional paper collections, and books authored by alumni/ae that relate to Westminster College or Missouri history.
- Other material that fills out the record includes an extensive photograph collection, posters, films, videos, and tape recordings of lectures, conferences, demonstrations, and special events.

The Reeves Library/Westminster College Archives has a threefold mission, which is to:

- Protect, house and preserve archival materials
  1. Protect records from loss, theft, or alteration during use.
  2. Physically process and arrange unprocessed records.
  3. House important records in maintained in clean, acid-free folders and boxes.
  4. Evaluate records for reformatting and preservation activities.
  5. Oversee environmental and preservation states of record collections

- Provide access to the information and the archival records in the Reeves Library/Westminster College Archives:
  1. Staff the reading room and provide competent reference assistance to all readers.
  2. Describe all records accessioned with Summary Descriptions.
  3. Refine and expand Summary Descriptions to Preliminary Inventories.
  4. Publish and update descriptions of all records to the Reeves Library/Westminster College Archives Website.
  5. Charge-out records to creating units when requested and account for their return.
  6. Provide bibliographical instruction to classes and groups wishing to use the Archives.
  7. Prepare periodic virtual exhibits as outreach tools for the archives.
• **Acquire material considered to be of permanent value to the preservation of the institution’s history:**

1. Work with individuals and departments to ensure that historical records get to the Archives.
2. To this end, solicit potential donors and supporters among alumni/ae.
3. Develop a cohesive public relations program, including digitization.
4. Accession valuable archival records and authorize the destruction of the remainder (including all documentation).
5. Notify record creating offices of decisions to destroy or preserve records.
Appendix C – WCM&L Collections Policy