



RECORDS & INFORMATION MANAGEMENT POLICY

Policy # 3.004

Responsible Executive:
VP for Mission
VP for Institutional Effectiveness
Responsible Office:
Special Collections & Records
Management

Issued: 10/30/2018
Revised:

Status: Approved by
Leadership Team
Approved Date: 07/24/2019

1. Policy Summary

Molloy College requires an efficient Records and Information Management (RIM) program to ensure the consistent and cost-effective management of records and information throughout their life cycle. Molloy is committed to meeting our obligations to comply with federal and state statutory requirements in our record keeping and destruction practices. The College also recognizes the importance of preserving our historically significant records for the future benefit of the Molloy community.

2. Policy Scope

This policy applies to all records and information created or received in the course of business, regardless of format or location.

This policy applies to all Molloy College departments and work performed on behalf of Molloy College.

3. Policy

Records Ownership, Access and Use

Records created or received during the normal course of business are the property of Molloy College and may not be removed from its control or destroyed except under the authority of this policy.

Personal information contained in college records is created, used, maintained and disposed of in a manner that protects the privacy and confidentiality of students, employees and the College.

Records created and maintained by the College are protected from inappropriate access, alteration and use. The College selects technology and implements record creation and management processes that support these requirements.

Records Retention Schedule (RRS)

The College records retention schedule is created and maintained as a database, accessible through the Special Collections & Records Management Office. The RRS includes a non-exhaustive listing of records series with a recommended retention period and designated Office of Record. The schedule is reviewed periodically and updated as needed. Change requests and questions on implementation of the RRS should be directed to the Special Collections & Records Management office.



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Litigation Holds (preservation orders)

Destruction or alteration of any record in any form (including duplicate copies) that relate to pending or threatened litigation or investigation, or that relates to any matter about which litigation or investigation is reasonably foreseeable is prohibited by this policy and can result in civil and/or criminal liability.

Once notice is received of a pending litigation or government investigation, destruction of any records involved in the litigation must be suspended immediately. Offices shall maintain records subject to a hold in such a way that they are not inadvertently disposed.

Historical Records

Records of archival value are identified and preserved for historical purposes. The College Archives is the official repository for College records identified as having historical value. This is inclusive of records in all formats and regardless of media. The College Archives is maintained as a unit of the Special Collections and Records Management Office. The Archivist is available to review records to determine archival value.

Records Disposal

Records are destroyed in accordance with the College records retention schedules. The method of destruction shall be chosen based on the nature of the record and its contents. In general, accepted means of destruction include recycling, shredding, burning, and erasure (or other means of rendering electronic records unreadable). Records containing personal or identifying information must be destroyed in a manner that maintains confidentiality.

The records destruction process will be documented in a standardized manner. Destruction orders and subsequent Certificates of Destruction shall be filed with the Records Management Office.

Responsibility

The Records and information management program is the responsibility of the Special Collections & Records Management office. This office is responsible for establishing and maintaining the records retention schedules and related records and information management procedures. The Special Collections & Records Management office provides training and



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guidance to offices implementing records and information management related activities, and participates in the selection of tools, equipment, and technology for records creation, distribution and related workflows.

Senior Administrators are responsible for participating in the development of records retention schedules as needed.

Department Directors designate Records Liaison's to act as representatives for their department records management needs. The Liaison will serve as the primary contact with the Records Management office, will participate in training and assist members of their departments in executing activities related to records management.

All employees are required to follow issued procedures relating to the retention and destruction of records. Effective management of college records is a responsibility shared by all Molloy employees.

Standards and Best Practice

The records and information management policy, program and procedures are based on current professional standards and best practices. Molloy College has adopted the international standard, ISO 15489: *Information and documentation – Records Management*, as a guiding framework.

4. Definitions

- **Archival Records:** are records that have enduring legal, institutional or historical value.
- **College Officers:** The President's Leadership Team.
- **Destruction Certificate:** a document that certifies that records have been destroyed. Usually attached to a corresponding destruction order, it will indicate who conducted the destruction, the date carried out and the method employed.
- **Destruction order:** a document that provides a list of records that have reached their approved retention date, and should be scheduled for destruction.
- **Litigation hold or preservation order:** is a written or verbal order directing that a record or series of records be retained beyond the established retention period because of extenuating circumstances, such as a court order.
- **Office of Record:** The office assigned responsibility for custody and maintenance of specific records. This is usually the office in which the records were originally created or received for use and subsequently filed.

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- **Record:** a record can be any information, regardless of physical format, which has administrative, fiscal, legal or enduring value. This includes but is not limited to paper, microforms, photographs, drawings, maps, motion picture film, and electronic records such as databases, e-mail, voicemail, etc.; maintained in magnetic or optical format, this may include CDs and DVDs, videotapes, audio tapes and computer tapes.
- **Record life cycle:** The life span of a record as expressed in the five phases of creation, distribution, use, maintenance and final disposition.
- **Records Liaison:** an employee designated to implement records management procedures within their department and coordinate activities with the Records Management office
- **Records Retention Schedule (RRS):** a document describing types of records and establishing the length of time the records must be retained. The retention schedule provides authorization for the systematic destruction of records.

5. Related Policies and/or Documents

Institutional Effectiveness and Information Technology:

Acceptable Use Policy, Email Usage Policy, Network Usage Policy

Human Resources:

Employee Handbook, Faculty Handbook

Registrar:

Family Educational Rights and Privacy Act (FERPA) Notification

6. Related Procedures

Records Retention Schedule

