

## UNIVERSITY OF RICHMOND

### RECORD RETENTION POLICY

#### Statement:

To ensure that the University of Richmond (the "University"): (a) complies with all applicable legal and accreditation requirements; and (b) implements an efficient, cost-effective approach to document retention, the University has adopted this Record Retention Policy.

#### Purpose:

The purpose of this policy is to establish guidelines and procedures for the maintenance, retention, preservation and disposal of University Records.

#### Scope of Policy:

1. University Organizations. This policy applies to the University of Richmond and all of its Affiliates. As used in this policy, the term "Affiliates" means organizations or entities in which the University owns a controlling interest or has the right to elect the majority of the entity's governing board.
2. Records/Documents Covered.
  - a. This policy applies all "University Record(s)." For purposes of this policy, a University Record is defined as recorded information, in hard copy or electronic copy, produced or acquired in the course of the University's business. It includes all documents, papers, letters, memoranda, e-mail messages, patient records, images, cards, books, maps, photographs, blueprints, sound or video recordings, microfilm, magnetic tape, electronic media, and other information-recording media, regardless of physical form or characteristic, that is generated and/or received in connection with the University's operations, business, strategy, services, or transactions of any kind.
  - b. This policy does not apply to: blank forms, stocks of publications, magazines and newspapers, publications from professional organizations, public telephone directories, personal, non-University information maintained by a University faculty or staff member at his or her place of work. Additionally, transitory messages used primarily for the informal communication of information are not considered Records under this policy. Transitory messages may include, but are not limited to, telephone and voicemail messages with short-lived or no administrative value.

**Policy:**

1. University Records are retained in accordance with all applicable laws and regulations and this policy.
2. All University employees, faculty and agents are responsible for ensuring that University Records are created, used, maintained, preserved and destroyed in accordance with this policy.
3. University Records containing privileged, confidential and/or proprietary information will be securely maintained, controlled and protected to prevent unauthorized access.
4. No one may falsify or inappropriately alter information in any University Record.
5. University Records that have satisfied their required period of retention will be destroyed in an appropriate manner. University Records that contain privileged, confidential and/or proprietary information shall be disposed of in a secure bin for shredding.
6. All University Records generated and received by the University are the property of the University. No University employee, by virtue of his or her position, has any personal or property right to such University Records even though he or she may have developed or compiled them.
7. The unauthorized destruction, removal or use of University Records is prohibited.
8. The University's General Counsel has responsibility for maintaining this policy, as well as reviewing and approving all changes and revisions to the record retention schedule.

**Procedure:**

1. Record Retention Schedule.
  - a. The Record Retention Schedule ("Schedule"), attached to this policy as Exhibit A, specifies the length of time each type of University Record shall be retained. A University Record should not be retained beyond the time period specified in the Schedule unless a reasonable probability exists that the University Record will be needed in the future.
  - b. The Schedule may be amended from time to time by the University's General Counsel. Proposed changes, additions or revisions to the Schedule will be submitted to the General Counsel, who will research the legal, fiscal, administrative and historical value of the University Records to determine the appropriate length of time to maintain such Records, amending the Schedule as necessary.

2. Active/Inactive Records.

University Records are to be reviewed periodically to determine if they are active or inactive. University Records that are no longer required as active will be reviewed and assessed either for off-site or electronic storage or, if the required retention period has lapsed, for destruction. Documents that do not meet the definition of a University Record and duplicate materials are to be destroyed rather than sent to off-site storage.

3. Storage of Records.

Each department/school shall determine the best method of storage for both active and inactive University Records. In all cases, however, University Records are to be stored in appropriately secured areas.

4. Destroying Records.

- a. When the retention period for a particular University Record expires (as specified in the Schedule) such University Record may be destroyed in accordance with this Policy.
- b. Records must be destroyed in a manner that ensures confidentiality and renders the information no longer recognizable as a University Record. Approved methods of destroying University Records include, but are not limited to, recycling, shredding, burning, pulping, pulverizing and magnetizing. University Records cannot be placed in trash receptacles unless the Records are rendered no longer recognizable as a University Record.

D. Litigation and Other Exceptions to Retention Schedule.

- a. Litigation or Potential Litigation. Regardless of the Document Retention Schedule attached hereto, any University Record or other document (whether hard copy or electronic) that is relevant or potentially relevant to pending litigation or to any matter that is reasonably likely to result in litigation must be retained until such litigation or potentially litigation is fully and finally resolved or closed.
- b. Government Investigations. Regardless of the Document Retention Schedule attached hereto, any University Record or other document (whether hard copy or electronic) that is relevant or potentially relevant to any pending government investigation, survey, or inquiry or to any matter that is reasonably likely to result in a government investigation, survey or inquiry must be retained until such investigation, survey or inquiry is fully and finally resolved or closed.


To assure compliance with these restrictions, University's General Counsel will distribute a memorandum to all appropriate personnel when litigation commences, advising of the pendency of an action, the subject of the action and the designation of University Records to be maintained outside the specified retention period. Records subject to such notice

are to be retained until notice has been received from the General Counsel authorizing disposal.

5. Further Guidance on Record Retention.

All questions, concerns or requests for changes concerning this policy and/or the Schedule should be directed to the University's General Counsel.

Approved: June 29, 2009



Shannon E. Sinclair  
General Counsel