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Section: Administration

Policy No: 2.4

Records Management Policy

PURPOSE: Records Management for the College Heights Foundation includes the maintenance, preservation, and destruction of records according to local, state, and federal guidelines. The policies for the Foundation are based on the records management policies established by WKU Archives and the recommended methods of disposal, storage, or preservation of documents. The WKU archivist may be consulted on records management issues such as filing systems, digitization and microfilming as necessary to clarify or alter this established records management policy.

POLICY: The College Heights Foundation, in accordance with similar protocol at WKU, uses the State University Model created, maintained, revised and approved by the Kentucky Department of Libraries and Archives in conjunction with Kentucky university archivists across the state. The most common type of disposition listed on the general schedule is destruction of records in an office when reference value ends or a predetermined quantity of time based on the type of record. The most common types of retentions listed on a records schedule are to retain in office permanently or to transfer to WKU Archives at the conclusion of each academic year for permanent retention. Most disposition / retention instructions take effect at the end of the fiscal/calendar year. The records schedule should be consulted in December of each year. The benefits to following the State Model Records Schedule allow an audit to go smoothly, preserve vital records containing information necessary to establish or continue the operation in the event of a disaster, identify records series that have historic or permanent value and make provision for transferring these records to WKU Archives at the end of their in-office life, identify records for destruction that are no longer useful to the CHF, and helps ensure efficient use of storage space within the unit.

Risks of Poor Records Management

Records management is a vital component to any organization. The risks of poor records management include potential litigation since all records created are potential documentation in lawsuits, excessive storage costs from keeping records beyond their retention period; the inability to retrieve important documents when needed, and loss of important history of the College Heights Foundation.

Document Imaging of Records

Digitization is most cost effective when used for permanent records and non-permanent records with long retention times. Digitization should not replace active records management, but it can serve as an important tool based on the retention needs of the organization. The College Heights Foundation observes the principles set forth in the Policy Memorandum on the Storage of Public Records as Scanned Images in accordance with the guidelines and retention schedules established by the State Archives and Records Commission. To ensure the accuracy and completeness of records, a process of inspection shall be in place to confirm that imaged documents are legible and that no corners of the original documents were folded or obscured during scanning. This process shall include systematic quality control and audit procedures, as well as operational oversight by staff with detailed knowledge of the process or system used to produce the records. Resolution and use of gray scale shall be appropriate to capture all needed detail within documents. Similarly, scanned images shall capture all colors that are needed to interpret or understand the meaning of the paper document. The accuracy of the indexing process shall also be assured through procedures that visually verify indexes after they have been keyed or created through optical character recognition. The records maintained in imaging systems shall meet all access requirements defined by Kentucky Revised Statutes or Kentucky Administrative Regulations. A backup copy of all image files and indexes shall be created at intervals determined by the frequency of update and the criticality of the imaging system as established by the College Heights Foundation. An effective maintenance program will be observed ensuring that scanners, optical disks, and magnetic storage devices are properly housed and regular maintenance shall be in place. Equipment maintenance logs shall document the occurrence of regular maintenance. Staff employing imaging systems shall receive formal training in system use to ensure that standard procedures are routinely followed. Migration paths for all records, including those stored offline, shall be identified and employed to ensure usability of records throughout their retention period. Scanned images of public records scheduled as permanent shall also have manual, eye-readable counterparts, such as paper or microfilm. This requirement does not apply to "born digital" images or scanned images of primarily non-textual records (e.g., maps and photographs). Non-permanent records may be scanned and maintained without hardcopy, eye-readable originals.

Records Retention Schedule

A records retention schedule is a list of records series created by an office. It describes the types of papers included in the series (correspondence, budget, reports, etc.); how long the series is to be maintained within the office; if and when the series is to be transferred to WKU archives; or destruction instructions. In accordance with established guidelines and policies for the retention and destruction of documents for WKU, the College Heights Foundation has adopted the following schedule:

- **General**

- Correspondence (Official)—correspondence regarding administration of CHF, documenting significant historic events, major changes in policies or procedures, etc. *Retain hard copy for 10 years. Scan in document imaging file for permanent retention. Transfer hard copy to WKU Archives for permanent retention after administrative use ends.*
- Correspondence (General)—routine correspondence, emails setting appointments, congratulatory notes, etc. *Retain hard copy no longer than 2 years. Scan in document imaging file any correspondence which may need to be retained longer.*
- Correspondence (Non-business related)—personal correspondence and email, spam, and other unsolicited correspondence. *Delete/destroy nonbusiness correspondence immediately.*
- Minutes—meeting minutes of College Heights Foundation. *Transfer 1 copy to WKU Archives, keep 1 copy in CHF office and also document image copy for permanent retention, and destroy excess copies when no longer useful.*
- Photographic File—photographs, digital images, etc. *Scan into document imaging system and then transfer originals to WKU Archives for permanent retention.*
- Publications—publications created by unit, magazines, brochures, reports, etc. *Transfer 1 copy of each publication to WKU Archives for permanent retention, scan into document imaging file, retain hard copy for 5 years, and destroy excess copies when no longer useful.*
- Reference and Informational Materials—vendor or third party handbooks, catalogs, brochures, pamphlets, duplicate copies of records, etc. *Destroy when no longer useful.*
- Reports—annual or summary. Departmental activities for the year. *Transfer 1 copy to WKU Archives for permanent retention. Scan into document imaging file, retain 1 copy in unit for 5 years, and destroy excess copies when no longer useful.*
- Policies and Procedures—university and departmental policy and procedures manuals. *Retain 1 hard copy of all manuals created by the department permanently. Maintain electronic copy in document imaging file. Destroy duplicate copies when no longer useful or superseded.*

- **Financial**

- Financial Records subject to audit—Bank statements, investment reports, cancelled checks, deposit slips, disbursements, reimbursements, reconciliation statements, vouchers, departmental card records, etc. *Destroy after 3 years or after audit, whichever is longer. Any records needed longer should be maintained in the document imaging file.*

- Financial Records not subject to audit—Accounts payable/receivables, inter-account bills/transfers, invoices, purchase orders, requisitions, work orders, travel request authorizations, duplicate financial reports, etc. *Destroy record copy after 3 years. Destroy duplicates when no longer useful.*
 - Electronic Funds Transfer Supporting Data—University name, ID numbers, date entered, date requests/debits settled, description of credit/debits in batch, destination of funds, recipients name, account number, amounts, etc. *Destroy when verification of proper upload is received.*
 - Annual Audits—*One hard copy should be maintained in the permanent file in CHF and also scanned into the document imaging file, 1 hard copy should be transferred to WKU Archives, and 3 copies kept for 5 years and then destroyed.*
- **Awards and Committees**
 - Committee Meetings--meeting minutes, nominee files of winners, award presentation materials, photos, video, etc.—*Retain for 5 years, document image files, and transfer documents to WKU Archives as appropriate. Minutes from standing committees of the Board should be kept in accordance with Board minutes.*
 - Awards—*Retain award winners for 5 years, document image award winner files as necessary, and destroy nominations and applications after 5 years.*
 - Scholarship Award Letters— *Retain award letters for 5 years, document image award winner files as necessary, and destroy letters after 5 years.*
- **Student Records**
 - Student Worker Time Sheets, Work Study Files, and Personnel Records. *Destroy unit copies after 1 year when no longer useful.*
- **Personnel/Payroll Records**
 - Personnel File (including Benefits file/Performance Evaluations)—*departmental copies can be destroyed 5 years after termination of employee.*
 - Hiring Process Materials File – *Retain record copies of available positions until 5 years after inactivation of position and audit, then destroy. Retain record copies of all other materials until 3 years after search is concluded, then destroy.*
 - Leave Requests—*destroy after 1 year.*
 - Accident Report File – *retain files that do not result in a claim until 3 years after the report date, then destroy. Retain those that result in a claim until 3 years after the case is closed, then destroy. Retain duplicate (departmental) copies not resulting in a claim until 3 years after case closure.*

- Workers Compensation Claims – *Retain until 3 years after case closure, then destroy.*
 - Payroll Deduction File – *Retain for 4 years, then destroy.*
 - Retirement Reports – *Retain for 75 years, then destroy.*
 - Family and Medical Leave Case File – *Retain for 3 years or until after audit, whichever is longer, then destroy.*
- **Donor and Endowment Records**
 - Documents, gift agreements, money, land, or in-kind contributions. *Purge information from database when no longer useful. Scan all information for document imaging file and record on Advance. Retain letters and agreements of gift, copies of bequest instruments and wills from individuals or estates permanently. Retain related documentation and correspondence from major donors permanently. Retain all other records for 10 years or until funds are exhausted and destroy.*
- **Buildings/Grounds Records**
 - Construction/Renovation Contracts – *Retain until 3 years after construction is completed, and audited, then destroy.*
 - Blueprints, Plans, Specifications for Buildings, Grounds and Landscape File – *Retain in file until no longer needed for administrative purposes, then transfer to University Archives for permanent retention.*
 - Building Inspection File – *Retain for 2 years, then destroy.*
 - Maintenance File/Work Orders – *Retain until 3 years after expiration of maintenance agreement or disposal of equipment, then destroy.*