

Dartmouth College Records Management

Record Retention and Disposition Policy Documentation

Department:	Date:	Completed By:
1. Filing System:		
2. Description:		
3. System Media: <input type="checkbox"/> Paper Filing <input type="checkbox"/> Active Electronic <input type="checkbox"/> Other: <input type="checkbox"/> Microfilm <input type="checkbox"/> Magnetic Media Filing		
4. Filing Arrangement: <input type="checkbox"/> Alphabetic <input type="checkbox"/> Class/Alpha <input type="checkbox"/> Other: <input type="checkbox"/> Numeric <input type="checkbox"/> Chronologic		
5. Retention and Disposition Policy (select <u>one</u> of the two options below):		
<input type="checkbox"/> 5.a: Utilize Records Management (Recommended – Strong Protection) Existing Records Series Number: Retention Period: Disposition Method: Approval Date: Schedule of sending material to Records Management:	<input type="checkbox"/> 5.b: In-House Retention and Disposition (Less Critical Systems - Less Protection) Describe Retention Period: Describe Disposition Method: <input type="checkbox"/> Secure shredding <input type="checkbox"/> Recycling <input type="checkbox"/> Other (describe): Schedule for implementation of disposition:	
6. Approval Signatures (necessary for in-house disposition policies only):		
Administrative Assistant Date:	Departmental Director Date:	

Record Retention and Disposition Policy Documentation:

Overview:

This form is used to document retention and disposition policy decisions, and provide a reference for the implementation of those policies.

1. **Filing System.** Include the name of this filing system. Example names may be “Purchasing Card Files” or “Corporate Relations Subject Files.” This filing system should correspond to an existing Records Management Series, or otherwise be “a collection of files with similar maintenance requirements that can be treated as a group for retention scheduling purposes.”
2. **Description.** Use this space for a more detailed description of the filing system.
3. **System Media.** Check the appropriate item indicating what kind of physical media is used for the storage of information in this system. Most will either be Paper or Active Electronic.
4. **Filing Arrangement.** Check the appropriate item to indicate how material is arranged in this filing system. Most will be Alphabetic, but other filing arrangements are also common.
5. **Retention and Disposition Policy.** Select *one* of the two options shown. Utilizing Records Management for the retention and disposition of your material is by far the better choice. This allows your retention and disposition policies to be approved by the institution as a whole. This provides a level of legal protection that is not available when in house record disposition is employed. All major systems should utilize this method, and only smaller, less critical, and low legal liability systems should be handled by in-house disposition.
 - 5.a. **Utilize Records Management.** Information on existing Record Series can be obtained from the Records Custodian, or by contacting Records Management. Include a description of the schedule for sending material to off-site storage.
 - 5.b. **In-House Retention and Disposition.** Utilize this method only for smaller systems that are not mission-critical, have no historical information, and do not pose a significant degree of legal liability. Carefully document the retention period, the disposition method, and the schedule for purging material from the system. Example retention periods could be “three years” or “five years after the close of the contract,” or even “current fiscal year plus one completed fiscal year.” Example schedules for implementation of the disposition could be “every January” or “after the graduation of each class.” Be sure to keep a record of all disposition performed in-house (see “In-House Record Disposition Documentation” form).
6. **Approval Signatures.** At least two staff members should sign and date the form, to show the approval of the policy. This is only necessary for in-house disposition. Retention and disposition handled by Records Management is approved by the Records Retention Committee
10. **Notes.** Any additional notes can be included below. Include additional pages if necessary.