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	<b>Revised:</b>	<b>June 1, 2021</b>

## **Records Management Policy**

Ringling College of Art and Design requires that its records be managed in a systematic manner according to plans developed by the departments that maintain those records, and consistent with applicable law.

The College is committed to effective records management including meeting legal requirements for record retention and privacy protection, optimizing the use of space, minimizing the cost of record retention, and properly destroying outdated records. This policy applies to all records, regardless of whether they are maintained in hard (paper) copy, electronically, or in some other fashion.

The College is subject to a range of Federal and State requirements regarding record retention. Each department should develop a records management plan appropriate for the particular records it maintains.

### **Records Management Procedures and Practices**

Departments that maintain College records are responsible for establishing appropriate records management procedures and practices. Each department head or a designee should:


1. Develop the department or office records management procedures and practices, consistent with the College's Records Management Policy;
2. Educate staff within the department in understanding the policy, procedures and practices;
3. Restrict access to confidential records and information; and
4. Coordinate the destruction of records as provided in the departmental procedures.

### **Confidential Information**

Many records subject to record retention requirements contain non-public confidential data. Such records are protected by federal, state and local statutes, including the Family Educational Rights and Privacy Act (FERPA), the Gramm-Leach Bliley Act (GLBA), and the Health Insurance Portability and Accountability Act (HIPAA). In addition to statutory requirements, any record that contains confidential data should be treated consistent with College policy.

### **Preservation of Records Relevant to Legal Matters**

Ringling College expects all officers, directors and employees to comply fully with any published record retention and destruction policies and schedules EXCEPT if you believe or you are informed that College records are relevant to litigation or anticipated litigation.

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Any record that is relevant to any pending or anticipated litigation, claim, audit, agency charge, investigation or enforcement action shall be retained until final resolution of the matter. In these circumstances, the Executive Vice President will notify relevant departments of a “litigation hold” and work with staff to identify and preserve any records (including electronic records) and other information that could be relevant to the matter. This will include a directive that the department’s normal document destruction policies or protocols temporarily be suspended. Routine destruction will not be resumed without the written approval of the President.

No employee who has been notified of a litigation hold may alter or delete a record that falls within the scope of that hold. Violations of that hold may subject the individual to disciplinary action up to and including dismissal, as well as personal liability for civil and/or criminal sanctions by the courts or law enforcement agencies.

Employees who become aware that an investigation or legal proceeding against the institution is anticipated or has commenced must promptly notify the Office of the Executive Vice President.

### **Permitted Routine Disposal and Destruction of Records**

Consistent with the College’s Records Management Policy, and with departmental records management practices and procedures, records can be destroyed in one of the following ways:

1. Recycle non-confidential paper records;
2. Shred or otherwise render unreadable confidential paper records; or
3. Erase or destroy electronically stored data. (The Office of Institutional Technology can assist in effectively disposing of this data.)

The Executive Vice President or the Office of Human Resources is available to work with individual departments to implement this Policy and departmental retention and destruction schedules. Questions may be addressed to these offices.