



University Archives: AUC Records Management

Records Disposal Guide

AUC Records Management provides guidance on when inactive records should be shredded or recycled, as prescribed in the University Records Retention Plan, and offers disposal services to the AUC community at its Records Center facilities. Records stored in the Records Center are shredded at the end of their retention period, as described below in Section A. Section B describes procedures for records that may be destroyed or recycled directly by university offices.

A. Disposal of Records Stored in the Records Center

1. When a group of records is transferred to the Records Center, AUC Records Management staff members use the University Records Retention Plan to determine how long the records should be stored and when they can be destroyed or discarded (or if they require transfer to the University Archives). This future disposal date is recorded in the Records Center's holdings registry. The Records Transfer and Disposal Form that the originating office sent along with the records is marked to indicate this disposal date, and a copy returned to that office. Records under consideration for permanent retention in the University Archives are marked with "Archives Review" instead of a disposal date.
2. When a group of records from a particular office reaches the prescribed time to be destroyed or discarded (according to the University Records Retention Plan), AUC Records Management staff will notify the originating office of the upcoming disposal. This notification will ask if there is an upcoming or likely legal action, audit, investigation, or any other reason that requires keeping the records longer than prescribed by the Retention Plan. The notification will be accompanied by a copy of the Records Transfer and Disposal Form, which the originating office should sign (in Section 3 of the form) and return to AUC Records Management if the disposal can proceed.
3. After AUC Records Management staff receive the signed Records Transfer and Disposal Form indicating that the disposal process can proceed, the obsolete records will be shredded in a way to obscure any confidential or sensitive information (records lacking confidential or sensitive information may be recycled). The originating office will then be sent a copy of the Records Transfer and Disposal Form with signed confirmation of the records destruction.

B. Disposal of Records in Offices

Some categories of records that are small in quantity, or have short retention periods (as indicated in the University Records Retention Plan), may not need to be transferred to the Records Center and so can be disposed of directly by the office that maintains them.

- 1.** Consult the University Records Retention Plan to determine the proper retention period and point at which disposal can take place.
- 2.** Before disposing of records, complete a Records Transfer and Disposal Form and sign Section 3, and send to AUC Records Management to request approval to proceed.
- 3.** Our staff will review the form and, if the disposal action conforms to the University Records Retention Plan, will sign Section 4 of the Records Transfer and Disposal Form. The form will be returned to your office and you can proceed with the disposal.
- 4.** Records approved for disposal that do not contain confidential or sensitive information may be recycled. Records approved for disposal that contain confidential or sensitive information should be shredded; if your office does not have a shredding machine available, the material should be sent to the Records Center for shredding.