

## Contacts

It is important for each University school, office, or department to have a RIM strategy in place for the creation, maintenance and proper destruction or preservation of University records.

For help with addressing and overcoming your records management challenges, you may contact:

### Betsy Pittman

University Archivist, RMLO  
Archives and Special Collections  
405 Babbidge Road, Unit 1205  
Storrs, CT 06269-1205  
860.486.4507  
Betsy.Pittman@uconn.edu

### Laurie Neal

Compliance and Records Management Specialist  
Office of Audit, Compliance & Ethics  
9 Walters Avenue, Unit 5084  
Storrs, CT 06269-5084  
860.486.4805  
laurie.neal@uconn.edu

### Privacy Note:

Whether you are storing records to meet minimum retention requirements, or you simply need access for administrative purposes, please maintain them securely. Find storage tips at: <http://rim.uconn.edu/privacy-tips/>.



Office of Audit, Compliance & Ethics  
Allyn Brown Building  
9 Walters Avenue STORRS, CT 06269-5084  
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## Records and Information Management

A "RIM" Guide for Faculty



[rim.uconn.edu](http://rim.uconn.edu)

# Retention Requirements

## Common Faculty Records

Do you ever wonder how long you must keep the records you create and receive at UConn? Do you find yourself keeping everything "just in case?"

This records and information management (RIM) guide will help you understand what records you must keep, for how long, and the process for disposing of such records.

**Dissertation & Theses** The University preserves these records permanently. Faculty are not responsible for maintaining the permanent copy. Faculty may **destroy copies when no longer needed**. Destruction authorization is not required.

**Faculty Grade Books** Instructors are responsible for maintaining the official copies of any grade books for **5 years from the end of the semester**. When the minimum retention is met, the instructor or designated staff must request permission to destroy the records.

**Graded Coursework/Final Examinations** Faculty should maintain unreturned course work and exams for at least **6 months from when the final grade is issued**. Destruction authorization is not required.

**Instructor Evaluations** OIRE maintains records and data created within the Student Evaluation of Teaching on-line system; instructors are not responsible for maintaining this data to fulfill the state's minimum record retention requirement. However, if instructors possess student written evaluations from the old evaluation process, the instructor or designated staff must request permission to destroy the written evaluations **1 year from the end of the semester**.

**Syllabi** Faculty or designated staff should **transfer syllabi to University Archives**. Contact Betsy Pittman for more information.

Record retention requirements may be found on the State of Connecticut Records Retention Schedule 5: Higher Education Records available at:  
<http://rim.uconn.edu/record-retention-schedules/>.

# Destruction Process

## How to Request Permission to Destroy University Records

- 1) **Download the Disposition Authorization Form (RC-108)**. This form is available at:  
<http://rim.uconn.edu/forms/>.
- 2) **Complete Form RC-108**. Detailed guidance on completing the form is available at:  
<http://rim.uconn.edu/tutorials/>.
- 3) **Send the signed form to:**

Betsy Pittman, U-box 1205

- 4) **Upon receipt of approval, destroy records.**

A copy of the form will be returned to you within 1-2 months after submission. Please destroy the approved records, shredding any records containing confidential or protected information. Central Stores offers a free shredding service. Find out more at:  
<http://rim.uconn.edu/confidential-shredding/>.

## Why the Paperwork?

As a state agency, UConn is required to follow certain record policies and procedures. By following the "rules," we show that we systematically destroy records using established standards and objective methods.

## Why is prior destruction authorization only required for some records?

Generally, the "copy of record" or the "official record copy" is the only version of a record that requires approval prior to destruction. For more information, including guidance on how to determine if you have the copy of record, visit:  
<http://rim.uconn.edu/tutorials/>.

## Exceptions

In some cases, you may be required to suspend the destruction of records, even if you've received approval (e.g. in the event of litigation or a freedom of information request). Learn more at:  
<http://rim.uconn.edu/hang-on-to-that-record/>.