

**BURRELL COLLEGE
OF OSTEOPATHIC MEDICINE
POLICY MANUAL**

SECTION: General Administration and Leadership

BCOM Policy: B2090

TOPIC: Retention of Institutional Records

Approval Date: 7/7/17

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Approved: Signature on File

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POLICY

BCOM shall follow the State of New Mexico Records retention and disposition schedules as compiled in the New Mexico Administrative Code (NMAC) and as applicable to BCOM. The official rule for Functional Retention and Disposition Schedule is the 1.21.2 NMAC.

Department heads shall be responsible for ensuring that all records are created, used, maintained, preserved, and destroyed in accordance with this policy. The Registrar shall be official custodian of student records.

RESPONSIBLE OFFICIAL(S):

All BCOM Department Heads, Registrar

DEFINITIONS

Department means any unit within the Institution that manages or generates Institutional Records.

Institutional Records means any form of recorded information, regardless of physical characteristics, that is created, received, maintained, or legally filed in the course of institutional business. An Institutional Record does *not* include: (1) materials preserved or appropriate for preservation because of historical value of the materials; (2) library books, pamphlets, newspapers, or museum material made, acquired, or preserved for reference, historical, or exhibition purposes; (3) private papers, manuscripts, letters, diaries, pictures, biographies, books, and maps, including materials and collections previously owned by persons other than the Institution and transferred to them by the Institution; and (3) Non-Records (defined below).

Non-Record means extra copies of correspondence and other documents preserved only for convenience of reference; blank forms, books, etc., which are outdated; materials neither made nor received in pursuance of statutory requirement nor in connection with the functional responsibility of the Institution; preliminary drafts of letters, reports, and memoranda which do represent significant basic steps in preparation of record documents; shorthand notes, steno tapes, mechanical recordings which have been transcribed, where noted on agency retention schedule; routing and other interdepartmental forms which do not add any significant material to the activity concerned; stocks of publication already sent to archives and processed documents preserved for supply purposes only; form and guide letters, sample letters, form paragraphs (NMAC 1.15.3.101).

PROCEDURES

1. All Institutional Records are the property of BCOM, regardless of their physical location, even when they are in the possession of individuals, and, as such, shall not be permanently removed from the Institution nor destroyed except in accordance with this Policy.
2. Any BCOM business conducted, or Institutional Records stored on institutional or outsourced IT services are subject to the provisions of the BCOM IT security and user responsibility policies; may be subject to a litigation discovery request, subpoena, or court order; and may constitute a public document subject to disclosure under applicable Federal and State laws.
3. Record retention is applied across Departments, regardless of type of Institutional Record.

4. Email and other electronic communications relating to BCOM business are part of the Institution's records and shall be retained depending on the nature of the document, consistent with the retention requirements for that type of document.
5. If BCOM is a party to a lawsuit, faculty and/or staff must preserve such records until BCOM's legal counsel determines that the records are no longer needed. The Office of the President will notify department heads to preserve paper and electronic records in the event of litigation or investigation
6. Employees who become aware of the possible omission, falsification, or inaccuracy of information entered into Institutional Records, or become aware of the improper destruction of records, shall report this knowledge to the Compliance Officer.
7. Non-records, as defined, are maintained for as long as administratively necessary and retention schedules do not apply. Non-records may be discarded when business use is terminated, unless there is a legal matter prohibiting destruction.
8. Official records stored on-site may be stored as hard copies with digitized backups or in a media suitable for the storage of the record.
9. Official records shall be duplicated onto an appropriate media and stored in designated off-site storage facilities, for reconstructive use in the event of a natural or man-made disaster. Off-site storage facilities are secure locations that safeguard the records from ordinary hazards such as water, mildew, rodents; man-made hazards such as theft, accidental loss, sabotage; disasters such as fire, flood, earthquakes, wind; and unauthorized use, disclosure, and destruction.
10. The College shall contract with a record storage company as the designated custodian of records for the care, maintenance and accessibility of student records and transcripts from the institution during its period of existence. Student records will include, at minimum, the student's enrollment agreement, transcript, diploma and financial aid records. The contracted company shall retain or dispose of all records as required by law in the event of the cessation of College operations.
11. Compliance with record retention shall be reviewed periodically and modified as mandated by changing legal requirements and Institutional policy.
12. Failure to comply with this Policy may result in punitive action against the violating faculty or staff member, including suspension or termination.

CROSS REFERENCE: <https://www.srca.nm.gov/nmac-home/nmac-titles/>