



OFFICE OF COMPLIANCE SERVICES  
UVM.EDU/POLICIES

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## UNIVERSITY OPERATING PROCEDURE

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**Title:** Record Preservation Directives (“Litigation Holds”)

### Overview

Premature or improper disposal or destruction of records may have serious legal consequences. In some circumstances, even the routine, regularly scheduled destruction of records may be unlawful.

Specifically, when a lawsuit against the University or its officers or employees is filed or threatened or is reasonably anticipated, the law requires the University to preserve all documents and records that pertain to the lawsuit.

### Applicability of the Procedure

This Operating Procedure applies to all employees of the University of Vermont.

### Definitions

Records: any and all written or recorded information produced or acquired in the course of University business, including without limitation all papers, documents, e-mail messages, machine-readable materials, and any other written or recorded matters, regardless of their physical form or characteristics.

Record preservation directive (or “litigation hold”): a formal notice issued by the Office of the General Counsel or other senior-level administrator to notify University employees that the University is under a legal obligation to preserve potentially relevant information.

### Procedures

All units must immediately suspend all disposal and destruction of relevant records, and all deletion of relevant e-mail messages and other electronic records, in the following situations:

- litigation has been commenced or threatened or is reasonably anticipated;
- a state or federal investigation has been commenced or threatened;
- an internal investigation or audit has commenced; or
- senior administrative officials have determined that urgent circumstances require the
- preservation of records and have issued a record preservation directive.

In all those instances, all involved University officials and employees, whether staff or faculty, must consult with the General Counsel’s Office for direction relative to the preservation of relevant records.

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

## Contacts

<b>Questions concerning the daily operational interpretation of this UOP should be directed to the following:</b>	
<b>Title(s)/Department(s):</b>	<b>Contact Information:</b>
General Counsel	(802) 656-8585

## Forms/Flowcharts/Diagrams

- None

## Related Documents/Policies

- [Government Reviews Procedure](#)
- [Records Management and Retention Policy](#)
- [Subpoenas, Complaints, Warrants, and other Legal Documents Procedure](#)

## Training/Education

Training will be provided on an as-needed basis as determined by the Approval Authority or the Responsible Official.

## About This Procedure

<b>Responsible Official:</b>	The Vice President for Legal Affairs and General Counsel	<b>Approval Authority:</b>	The Vice President for Legal Affairs and General Counsel
<b>Affiliated Policy Number(s):</b>	V.9.3.3	<b>Effective Date:</b>	January 3, 2013
<b>Revision History:</b>	<ul style="list-style-type: none"> <li>• Effective January 3, 2013</li> <li>• Reaffirmed March 20, 2023</li> </ul>		

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