Policy *713* Version 1 *3/2/2015*

**Policy Change Cover Sheet**

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| **This form must be attached to each policy presented. All areas in red, including the header, must be completed; if not, it will be sent back to you for completion.** | | |
|  | *I****f the changes you are requesting include housekeeping, please submit those changes to*** [***ndsu.policy.manual@ndsu.edu***](mailto:ndsu.policy.manual@ndsu.edu) ***first so that a clean policy can be presented to the committees.*** | |
| **SECTION**: | Policy Number and Name: Policy 713, Records Management | |
| 1. **Effect of policy addition or change (explain the important changes in the policy or effect of this policy). Briefly describe the changes that are being made to the policy and the reasoning behind the requested change(s).** | | |
| * Is this a federal or state mandate? X Yes  No   Describe change: This policy has been revised, re-written and updated to 1) fit guidelines and standards established by the North Dakota State Office of Records Management, and 2) to reflect the NDSU change in leadership and governance. | | |
| 1. **This policy change was originated by (individual, office or committee/organization):** | | |
| * Information Technology Division, Theresa Semmens, Chief Information Security Officer & Director for Records Management, March 2, 2015 * Theresa.Semmens@ndsu.edu | | |
| ***This portion will be completed by Mary Asheim.***  Note: Items routed as information by SCC will have date that policy was routed listed below. | | |
| 1. **This policy has been reviewed/passed by the following (include dates of official action):** | | |
| **Senate Coordinating Committee:** | |  |
| **Faculty Senate:** | |  |
| **Staff Senate:** | |  |
| **Student Government:** | |  |
| **President’s Cabinet:** | |  |

The formatting of this policy will be updated on the website once the **content** has final approval. Please do not make formatting changes on this copy. If you have suggestions on formatting, please route them to [ndsu.policy.manual@ndsu.edu](mailto:ndsu.policy.manual@ndsu.edu). All suggestions will be considered, however due to policy format guidelines, they may not be possible. Thank you for your understanding!

**North Dakota State University  
Policy Manual  
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**SECTION 713**

**Records Management**

### SOURCE: NDSU President

### POLICY and PURPOSE

### The policy and purpose for Records Management is to

1. Comply with all applicable state, and federal laws and regulations, specifically North Dakota Century Code 54-46, and the North Dakota State University Records Retention Schedule found on the NDSU Records Management Web site.
2. Establish an efficient University-wide records management system for maintaining, identifying, retrieving, preserving and destroying records through the use of best practices and standards and according to North Dakota Century Code and all applicable federal laws.
3. Ensure that records are adequately protected and/or preserved.
4. Ensure that all records that are no longer needed or of no value are destroyed at the appropriate time.
5. Preserve University history.
6. Limit liability to the University.

### SCOPE

### This policy applies to all records, including all University information and University resources, regardless of format, whether in paper, electronic, microfilm, (e.g., microfilm, microfiche, magnetic tapes, USB flash drive, CD/DVD ROM), electronic mail, or other electronic medium.

1. The North Dakota Century Code (NDCC 54-46-02) defines a record as a "document, book, paper, photograph, sound recording or other material, regardless of physical form or characteristics, made or received pursuant to law or in connection with the transaction of official business." For records description and series, see the [Records Retention Schedule](http://www.nd.gov/itd/files/retention/235/235-NDSU-Web-Retention-Schedule.pdf).

**III. OBJECTIVE**

The objective of the Records Management policy is to assist and provide guidance to the University entities in managing records throughout the lifecycle of the record, i.e., from creation or receipt, use and maintenance stage, and final disposition. Various records produced in the course of University business must adhere to federal and state laws/regulations including access, storage, retention and disposal.

**IV APPLICABILITY**

This policy applies to anyone who creates, disseminates, stores, manages, destroys and/or has access to NDSU records of any type, classification or description. This includes all NDSU employees who have access to records and any external entities such as vendors whose purpose maybe to provide storage space or destruction services for records.   
  
**V. RELATED POLICIES AND APPLICABLE STATE LAW**

Standards, guidelines and procedures will follow and adhere to all policies and laws listed but not necessarily limited to

* North Dakota Century Code 54-46;
* NDUS Policy 1912 Public Records and related procedures:
  + 1912.1, Information Security Procedures;
  + NDUS 1912.2, Student Records – Directory Information; and
  + NDUS 1912.3, Employee Personal Information;
* NDSU Policy 713.1 Litigation Hold; and
* NDSU Policy 718, Public/Open Records.

**VI. RECORDS MANAGEMENT PROGRAM OVERSIGHT**

The Records Management Task Force will be responsible for Records Management policy, standards, guidelines, processes and procedures. The task force is comprised of

* One faculty member appointed by the Faculty Senate Staff Executive Committee
* Two unit records coordinators appointed by the Staff Senate Executive Committee
* The University provost and the vice presidents or their designees
* An archivist from the University Archives
* University System General Counsel or designee
* The NDSU Chief Information Technology Security Officer who serves as the Director of Records Management (co-chair)
* One Student Government member appointed by the Student Government President
* Associate Director for the NDSU Library (co-chair)
* If any task force member is unable to attend a scheduled meeting, a proxy may be sent in their place.
* Policy amendments/changes and standards and guidelines to be reviewed and approved by ND University System General Counsel prior to submission for publishing

The NDSU Director of Records Management

* Reports to the Vice President for Information Technology.
* The role of Director of Records Management will include
  + Coordinating retention, preservation and destruction processes and procedures for University records in accordance with this Policy and University Records Management procedures and practices
  + Assisting General Counsel with coordinating efforts to comply and respond to any issued Litigation Hold Notices and public records requests in a timely manner
  + Ensuring that all Unit Records Coordinators (URCs) appointed by University units receive ongoing training and education
  + Collecting and compiling annual disposal records as submitted by the URCs and reporting those metrics/statistics to the State’s Records Management office
  + Investigating and reporting on any potential non-compliance to the Unit Administrator and General Counsel if applicable. Recommend and require remediation to ensure compliance
  + Maintaining an up-to-date list of Unit Records Coordinators and their contact information
  + Sharing information as needed and relevant to the Records Management Task Force, and the URCs
  + Providing current and updated information on the records management Web site; [www.ndsu.edu/recordsmanagement](http://www.ndsu.edu/recordsmanagement)

The NDSU Records Coordinator

* Appointed by the Vice President for Information Technology
* Works with the Director of Records Management
* Assists the Task Force and the Director of Records Management as needed.

Unit Records Coordinators

* Appointed by their respective department heads.
* Their role will include
  + Providing assistance to faculty, staff and administrators in their units for retention, preservation and destruction of their unit’s records in accordance with this Policy’s procedures and practices, institutional requirements, and state and federal laws.
  + Serve as the liaison between their unit and the Director of Records Management and the Records Management Task Force
  + Completing continuing education and training on annual basis
  + Submitting records disposal forms to the Director of Records Management as required by policy and state law

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HISTORY:

New August 20, 1996

Amended January 22, 2002

Amended June 11, 2007

Amended August 1, 2007

Amended September 2007

Amended November 2008

Amended April 2009

Housekeeping September 2010

Housekeeping February 14, 2011

Amended March 2015