

North Dakota State University

Policy Manual

SECTION 713

RECORDS MANAGEMENT

SOURCE: NDSU President

I. POLICY and PURPOSE

A. 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.

II. SCOPE

This policy applies to all records, including all University information and University resources, regardless of format, whether in paper, electronic, (e.g., microfilm, microfiche, magnetic tapes, USB flash drive, CD/DVD ROM), electronic mail, or other electronic medium. 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." A "State Record" is further defined as "a record of a department, office, commission, board, or other agency, however designated, of the state government.

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, during use, the maintenance stage and final disposition. 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 and students who have access to records and external entities, such as vendors whose purpose may be to provide storage space or destruction services for records.

V. RELATED POLICIES AND APPLICABLE STATE LAW

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

1. North Dakota Century Code 54-46;
2. NDUS Policy 1901.2.1, Data Classification Standard;
3. NDUS Policy 1912, Public Records and related procedures 1912.1, Information Security Procedures;
4. NDUS 1912.2, Student Records – Directory Information
5. NDUS 1912.3, Employee Personal Information;
6. NDSU Policy 713.1, Litigation Hold; and
7. NDSU Policy 718, Public/Open Records.

VI. RECORDS MANAGEMENT PROGRAM OVERSIGHT

A. The Records Management Advisory Committee (RMAC) is responsible for records management policy, standards, guidelines, processes and procedures. The RMAC is comprised of:

1. The RMAC chair, appointed by the vice president for Information Technology (VPIT);
2. The Records Management Coordinator, appointed by the VPIT;
3. A faculty member appointed by the Faculty Senate Executive Committee;
4. Two unit records coordinators (URCs) appointed by the Staff Senate Executive Committee;
5. The University provost and the vice presidents or their designees (other than the VPIT);
6. An archivist from the University Archives;
7. An attorney appointed to NDSU or a designee; and
8. A Student Government member appointed by the Student Government President.
9. If any RMAC member is unable to attend a scheduled meeting, a proxy may be sent.

B. The role of the NDSU RMAC chair includes:

1. Coordinating retention, preservation and destruction processes for University records in accordance with this policy and University records management procedures and practices;
2. Assisting with efforts to comply and respond to any issued litigation hold notices and public records requests in a timely manner;
3. Ensuring that all URCs receive ongoing training and education;
4. Collecting and compiling annual disposal records as submitted by the URCs and reporting those metrics/statistics to the State's Records Management office;
5. Investigating and reporting any potential non-compliance to the corresponding unit administrator, and to the VPIT if applicable, and, where appropriate and needed, recommending and requiring remediation to ensure compliance;
6. Maintaining an up-to-date list of URCs and their contact information;
7. Sharing information as needed and relevant to the RMAC, and the URCs, and;
8. Providing current and updated information on the records management Web site, www.ndsu.edu/recordsmanagement/.

C. The NDSU Records Management Coordinator:

1. Is appointed by the VPIT;
2. Assists the RMAC chair and the RMAC members as needed;
3. Serves as the liaison between the URCs and the RMAC chair.

D. NDSU URCs are appointed by their respective department heads. Their role includes:

1. Providing assistance to faculty, staff and administrators in their units for retention, preservation and disposition of their unit's records in accordance with this policy's procedures and practices, institutional requirements, and state and federal laws;
2. Serving as the liaison between their unit and NDSU's records management leadership and the RMAC;
3. Completing continuing education and training on an annual basis;
4. Submitting records disposal documentation as required by policy and state law.

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	June 11, 2015
Housekeeping	October 2, 2015
Amended	April 26, 2016
Amended	June 25, 2018