Policy *713* Version 1 Nov*. 27, 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 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:   *Updated policy to reflect the task force is permanent by changing the name to Records Management Advisory Committee; Updated the membership of the committee, Added other language as needed.* | | |
| 1. **This policy change was originated by (individual, office or committee/organization):** | | |
| * Office/Department/Name and the date submitted  **Vice President for Information Technology and the NDSU Libraries** * Email address of the person who should be contacted with revisions **Theresa Semmens, 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**

1. **POLICY and PURPOSE**
2. 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.
3. **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.

1. **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.

1. **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.

1. **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:

* 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.

1. **RECORDS MANAGEMENT PROGRAM OVERSIGHT**
2. The Records Management Advisory Committee will be responsible for Records Management policy, standards, guidelines, processes and procedures. The advisory committee is comprised of:
   1. The NDSU Chief Information Security Officer who serves as the Director of Records Management (co-chair):
   2. Associate Director for the NDSU Library (co-chair);
   3. A faculty member appointed by the Faculty Senate Executive Committee;
   4. Two unit records coordinators appointed by the Staff Senate Executive Committee;
   5. The University provost and the vice presidents or their designees;
   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 Advisory Committee member is unable to attend a scheduled meeting, a proxy may be sent in their place.
3. The NDSU Director of Records Management reports to the Vice President for Information Technology. The role of Director of Records Management will include:
   * 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 Unit Records Coordinators (URCs) appointed by University units 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 on any potential non-compliance to the Unit Administrator and the Vice President for Information Technology if applicable,and where appropriate and needed, recommend and require 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 Records Management Task Force, and the URCs, and;
     8. Providing current and updated information on the records management Web site, www.ndsu.edu/recordsmanagement/.
4. The NDSU Records Management Coordinator:
   1. Is appointed by the Vice President for Information Technology;
   2. Assists the Director of Records Management and Records Management Advisory Committee as needed;
   3. Serves as the liaison between the URCs and the Director of Records Management.
5. NDSU Unit Records Coordinators are appointed by their respective department heads and their role includes:
   * + 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 June 11, 2015  
Housekeeping October 2, 2015