

# NDSU INFORMATION TECHNOLOGY

*Delivering core solutions and propelling innovation*

**NDSU Records Management Advisory Committee (RMAC) Meeting**  
**Thursday, Oct. 26, 2 p.m.**  
**Quentin Burdick Building 206E**

## MEETING NOTES

**Present:** Wendy McCrory, Matt Hammer, Becky Hellman, Kelly Hoyt (for Canan Bilen-Green), Ann Marschke, Barbara Nilles, Amy Ochoa, Marisa Pacella, Trista Raezer-Stursa, CeCe Rohwedder

**Unable to attend:** Canan Bilen-Green, David Ruhland

1. Members were welcomed, and introductions were conducted.
2. NDSU Records Management program updates:
  - A. Changes in leadership: following Theresa Semmens' departure from NDSU, Wendy McCrory and CeCe Rohwedder now lead NDSU's records management program.
  - B. Changes to RMAC make-up were implemented due to campus organizational restructuring.
  - C. Records Retention Schedules (RRSs) are now only web-based. Printing the Records Retention Schedule for later reference is not encouraged, as there are constantly changes to it, so a static version would not be up-to-date for long.
3. Policy updates:
  - A. Revised 713, "Records Management" <https://www.ndsu.edu/fileadmin/policy/713.pdf> to be updated; recommended changes in Attachment A were discussed. The revised document will be submitted to NDSU's Policy Coordinating Committee for approval.
4. Records management training:
  - A. The training curriculum required of Unit Records Coordinators (URCs) is available on the Records Management Website.
  - B. The quiz to satisfy the annual training completion required of Unit Records Coordinators is delivered through Moodle.
  - C. Records Management information/training for the general NDSU community is available on the Records Management Website, along with an optional quiz.
5. Annual records disposal:
  - A. Total FY2017 disposal volume: 347,136.9" (21,006.62" in FY16, 22,562.01" in FY15).
  - B. Disposal volume comparison: 347,136.9" = 28,928.075' or 8.8173km. Mt. Everest's highest peak is 29,035'.
  - C. Total departments reporting disposal: 77 (91 in FY16, 80 in FY15).

- D. In November, we will start communicating with individual departments who have not reported records disposal, let them know of the current resources available, and ask how we may be of assistance.
  - A. New records disposal forms now include columns identifying each record series as an NDUS-general one or an NDSU-specific
6. Record management at NDSU Extension Offices: the record series specific to NDSU's Extension Offices have been added to the NDSU-specific RRS. A Records Management presentation will be included in the spring NDSU Extension conference.
7. Items for discussion/RMAC guidance:
- A. Litigation holds:
    - a. NDUS Procedure 1912 was approved 9/13/17 and impacts records management (Attachment B).
    - b. Matt described NDSU's litigation hold process. When there is a litigation hold, the corresponding department will be notified by his office and no disposal of records involved may take place while the litigation hold is in place. The hold applies mostly on hard copies, as there is an NDUS hold on O365 email records that are not moved to email folders.
  - B. Electronic records with permanent historical value:
    - a. Trista explained that more and more electronic records are being archived in place of paper records. It is uncertain at this time how these electronic records will be preserved, as NDSU does not have archival preservation and management software. The records are usually Word documents, pdfs, etc, and are sent to Archives via email, CD, thumb drives, floppy disks, etc., but as technology changes there is no guarantee that the format will be readable in the future.
    - b. Grant funds would make possible acquisition of the software necessary for adequate archival preservation. The State of ND has archival software on its servers, not cloud-based. There are free solutions, but assistance with development would be needed.
    - c. A digital archivist would be a very helpful addition to the NDSU Libraries' staff.
  - C. What happens to records of departments that have been reorganized, split up, eliminated, etc? Such records need to be delivered to departments that undertake functions that have been distributed from the dissolved/restructured department for management as per the Records Retention Schedule; URCs are in the best position to make sure this takes place.
  - D. Identification of the Office of Record Retention for specific record series: the institution-specific RRS identifies the Office of Record Retention, but the NDUS-general RRS does not, as it is left to each institution to identify its Office of Record Retentions for the various record series.
  - E. Qualtrics surveys:
    - a. Who owns the data/is the Office of Record Retention: the department that collects the data or the office that ultimately receives and uses the data? The group consensus was that the department that receives and uses the data is the Office of Record Retention; upon delivery of the data, the department that collected it becomes a copy holder and may dispose of it any time prior to the end of its retention period prior in the method specified in the RRS.

- b. A department representative should be given ownership of each survey created by the Office of Teaching and Learning so as to be able to manage the records gathered through it as per the Records Retention Schedule.
- 8. The group will meet again in spring semester.

# North Dakota State University

## Policy Manual

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### 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 Program Manager, NDSU Card Center/Software Services, appointed by the vice president for Information Technology (VPIT) and serving as RMAC chair;
2. The Records Management Coordinator, appointed by the vice president for IT;
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 (other than the VPIT) 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 RMAC member is unable to attend a scheduled meeting, a proxy may be sent in their place.

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 on 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/](http://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 forms to NDSU's records management leadership 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
Amended	April 26, 2016

## Attachment B

### Policies and Procedures

#### NDUS Procedures

[<< return](#)

**SUBJECT:** 1900s: Miscellaneous

**EFFECTIVE:** September 13, 2017

**Section:** 1912 Litigation Hold

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1. A litigation hold may impact the NDUS' established records management program, requiring certain documents and electronic information to be retained for longer periods of time, sometimes indefinitely, in an unaltered form. When applying a litigation hold, the NDUS and its institutions shall:
  - a. Arrange for the appropriate individual (the Chancellor, institution President, department head, assistant attorney general) to send a written notice to employees at all applicable organizational levels specifying the documents and other materials as to which diligent efforts should be made to preserve and the method and places of preservation.
  - b. Notify the appropriate IT personnel of steps needed to preserve electronic data, such as halting routine deletion of email, halting automatic updates or cleaning of computers, preserving backup tapes beyond the routine write-over cycle, or transferring certain electronic data to a dedicated server.
  - c. Determine how to monitor compliance with the litigation hold notice by periodically checking back with affected management and staff.
  - d. Determine how to keep a written record of steps taken to preserve documents, electronic information, and other materials to demonstrate compliance with the duty to preserve potential evidence.
  - e. If needed, determine who will assist in reviewing documents for production and assertion of privileges.
  - f. Create an official process of notifying affected staff when the litigation hold has been cancelled or removed.

**Reference:** SBHE Policy - [1912](#)

**History:**

New Procedure. Chancellor Approved, September 13, 2017