Records Management
URC Training
2015-2016

Developed by
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Agenda

• Welcome
• Overview of Last Year
• Review of Website and Records Retention Schedule
• What’s New
• Transfer-to-Archives Changes
• FY2016 disposal
• Professional Development Opportunities
Focus of Records Management

• Support and improve business processes
• Ensure records are retained for correct period of time
• Manage in a manner that assures their accuracy and evidential value
• Standardize to provide cohesive and best practices for management and oversight

“Supporting Information Governance through Records and Information Management”, EDUCAUSE, April 8, 2014, Joanne Kaczmarke, University of Illinois, Urbana-Champaign
Purpose of Record Management

Support good business practices through the effective management of NDSU’s records and other information assets

– Track storage of records
– Ensure accessibility, availability and integrity from corruption (intentional or accidental)
– Assess the systems used for records & update as needed

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Goal of Record Management

Consistent management and best security practices

– Involve a coordinated approach and the dedication of appropriate and needed resources to support such a program

– Provide support for compliance requirements related to the retention and disposal of records

Note: This requires a collaborative approach from everyone

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Records Management Provides

• Assurance for compliance and best practices
• Oversight for the disposal of records that have met their retention requirements
• Assurance that records with long-term value are not lost and are, when appropriate, transferred to University archives
• Education, training and awareness for those who are responsible for records

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Historical Records

• Valuable resources for understanding the past decisions of departments or development of academic programs

• Provide value to academic researchers engaged in documenting the history of the institution

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2014: A Year of Change

• Worked with the ND State Records Management team to bring NDSU into compliance
  – Rewrote NDSU Policy 713, Records Management
  – Records Retention Schedule updated
  – 128 record series deleted to conform with NDUS Records Retention Schedule
  – Added two records series specific to NDSU

• Provided face-to-face and online training
2014 Records Disposal Facts

• 119 departments participated
  [47% compliance rate]

• 22,560 inches of paper records disposed of

• Many questions generated

• Participation was voluntary
Records Management Review

- NDCC 54-46, The Records Management Act, outlines requirements for a records management program
  - Includes definition and guidelines for management, categorization, retention, disposal & preservation of records in all formats
  - Definition: The systematic control of records throughout their lifecycle
Basic Principles

1. Create Receive
2. Use Send
3. File & Store
4. Retain & Destroy
5. Archival Preservation

Records Life Cycle
Copyholder Guidelines

• Must be a copy of the original document
• No longer has retention requirements related to the original document
• Dispose of as soon as need ends
• Dispose of according to original document’s required disposal process
Records Disposal Forms

• Updated

• Easier to understand and use

• Plans are to have them electronically completed and submitted online
FY 2016 Disposal

• Review disposal forms and instructions
  https://www.ndsu.edu/recordsmanagement/disposal_resources/

• Unit reports must submitted by May 30, 2016

• Disposal may be completed any time between now and May 30, 2016, as it works best for your department
Training Tutorials

• In the process of updating and improving tutorials for everyone

• Will include instructions on how to collect and dispose of electronic records

• Available by Spring Semester
Data Classification Standard

All data must be assigned to one of three data classifications. The three classifications are, from most to least restrictive:

- **Restricted** - This is data that requires the highest level of protection. It is data protected by federal or state laws, regulations, contracts, or policy.
- **Private** - This is data that should not be available to the public. It is data that may be protected by federal or state laws, regulations, contracts, or policy. This data requires protection, but not at the same level as "Restricted" data.
- **Public** - It is data that can generally be released to the public. It typically requires minimal protection.

Examples of classified data
NDCC 15, Higher Education Act

NDCC 15-10 -44.1.g Higher education information technology – Board duties - Reports

– 15-1 -44.1: The state board of higher education shall manage and regulate information technology planning and services for institutions under its control, including

  • g. Development and implementation of an electronic mail policy for the board and institutions under the supervision and control of the board which requires retention of nonstudent employee electronic mail messages for at least two years after the creation or receipt of the message.
Email Retention Guidelines

• The ND University System will be responsible for a technical solution that will manage compliance with the new email retention requirements without the need for action by each employee.

• Accordingly, all NDSU employees are asked to continue to follow their regular retention procedures for all records, including email.
In Other Words

• Continue to treat email you send and receive in accordance with the record series associated with its content

• Email that needs to be retained should be saved in PDF format and stored with the documentation that it refers to
For Windows Computers

If you have Adobe Pro installed

• Open Outlook

• Highlight email you need to save

• Click on “File”, select “Save as an Adobe PDF”

• At the prompt, “Save Adobe PDF File As,” choose where you want to save it
For Windows Computers

If you do not have Adobe Pro

• Open Outlook
• Click and open the email you need to save
• Click on “File”, select “Print”
• On Print drop down menu, select “Adobe PDF”
• Click the “Print” box
• At the prompt, save to the desired location
Converting email to .pdf

Step 1  For Windows systems that have Adobe Pro installed

Select the message or messages you wish to convert to .pdf format
Converting email to .pdf

Step 3 For Windows systems that have Adobe Pro installed

Click on the “File” tab. A drop down menu will appear. Select “Save as Adobe PDF”
Converting email to .pdf

Step 4 For Windows systems that have Adobe Pro installed

Title message, save message to the folder that is corresponding with the content in the message
Converting email to .pdf

Steps 1 & 2 For Windows systems without Adobe Pro

Follow steps 1 and 2 as described in the instructions for converting emails to .pdf for Windows systems with Adobe Pro installed
Converting email to .pdf

Step 3  For Windows systems without Adobe Pro

Click the “File” tab, from the drop down menu, select “Print.” A drop down menu of printers will become available. Select “Print to PDF.”
Converting email to .pdf

Step 4  For Windows systems without Adobe Pro

Title message, save message to the folder that is corresponding with the content in the message
For Mac Computers and IPads

• Click "Mail" from the Dock on your Mac to launch the application.
• Double-click an email message from the Mail application window to open it.
• Click "Print" from the Mail menu. A box opens.
• Click the "PDF" drop-down menu, then click the "Save as PDF" option.
• Click a folder on your Mac where you want to save the email message to a PDF file. Type a name for the PDF in the "Save As" text box, then click "Save." The email message is converted to a PDF file in the folder designate.
• Read more: http://www.ehow.com/how_8407508_convert-mac-mail-pdf.html
Electronic Records Disposal

1. Create a folder labeled “2015-16 Electronic Records Disposal”
2. Move records that meet disposal requirement into that folder
Electronic Records Disposal

3. To measure the amount/size, hover your cursor over the folder, right click & choose “properties.” Note what is listed for “size,” and record that amount on the form.

4. When amount is recorded, delete contents of folder.
RECORDS TRANSFER
TO THE
NDSU ARCHIVES

Instructions
http://library.ndsu.edu/ndsuarhive/ndsuarchives/university-records-transfer

Hard Copy Transfer Form
NDSU University Archives (Hard Copy) Transmittal Form

Electronic Record Transfer
NDSU University Archives (Electronic) Transmittal Form
Instructions

- Fill out form and save as PDF
  - Hard copy – place form on top of folders in first box you are transferring, save a copy for your records
  - Electronic – email or enclose with CD, DVD, or flash drive you are transferring
- Contact Trista Raezer-Strusa, Head, NDSU Archives (1-8877) for additional information on records transfer

Methods of Transfer

- The NDSU Archives will not pick up boxes of hard copy records. If just a few folders, you can send via campus mail. Arrangements must be made for records to be delivered to the NDSU Archives at the West Building (3551 7th Avenue North).
- Electronic records may be sent via campus mail if they are CDs, DVDs, and/or flash drives. FTP sites can be set up as well. If you prefer another method of transfer, contact Trista.
Transmittal Forms

- The only time the Dept. Name and Transmitting Office would be different is if there was a department name change or the department ceased to exist.

- Records Information – please refer to NDUS 1901.2.1 for determination of what is restricted or private. Also note that in the NDSU Records Retention Schedule, there is a column that indicates if the records are confidential or not.

- Inventory of Records:
  - For Hard Copy Records, we are assuming that each box is 1 linear foot.
  - For Electronic Records, we are looking for KBs, MBs, GBs and/or TBs.
Looking to the Future

• Update policy and procedure as needed

• Develop and improve
  – Annual/required online training
  – Automated process for submission of disposal forms
  – Deeper-in-depth training for URCs

• Work with Chief of Staff to develop public records and litigation hold requests procedure

• Provide more resources on the Website
Test your knowledge!

Records Management Fundamentals Quiz

https://ndstate.co1.qualtrics.com/SE/?SID=SV_6ArTXjffZWWp73D
Professional Development

• What training options would you like?
  - Lunch and learn
  - Webinars
  - Other

• Mentoring Program
  - Is there a need for one?
  - How should it be structured?
  - Any volunteers?
2015 Annual URC Training

• Questions?
• Be sure to sign out so your completion of the training is documented!

Thank You
Contact Information

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