NDSU
Records Management Training for
2018 Extension Session 1

August 30, 2018
Introduction
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NDSU’s teaching, research and outreach mission depends upon the effective and efficient management of information assets and resources.

This presentation outlines basic principles, responsibilities and resources for the management of NDSU records and information.
Why do records matter?

• Records provide evidence of transactions

• Records support the decision making process

• Records document university programs and activities

• Records can be resources for future historical research

• Records are kept to meet legal, administrative, professional, fiscal/audit, historical and research requirements

• NDSU records provide accountability and transparency for the business, research and education of the institution
Applicable policies, procedures and laws
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NDSU’s records management standards, guidelines and procedures must adhere to applicable policies, procedures and laws.

They are available at

www.ndsu.edu/recordsmanagement/resources
Identification of Records
How do I determine if it is a record?

If it is work in a tangible format such as paper, digital, video, audio, and/or a combination of formats created on behalf of the university, it is considered to be a record.

The information or substance contained within the format is one of the keys for determining if it is or is not a record.
To determine if something is a record, ask these questions:

- Is the material related to the duties of my job description or to the department in which I work?
- Am I, or is my department, on behalf of NDSU, the creator or the recipient of the material?
- Is this the official version of the record?
- Was the record created in the course of university business (correspondence, agreement, study, spreadsheets, completed forms, etc.)?
- Was it received for action (e.g., invoice requiring payment)?
- Does it document university activities and actions (calendar, meeting minutes, agenda, project record, etc.)?

Continued
To determine if something is a record, ask these questions (continued):

- Is it mandated by statute or regulation (administrative record, legal/financial record, human resources document, student information, etc.)?
- Does it support financial obligations or legal claims (contract, grant, litigation case file, etc.)?
- Does it communicate organizational requirements (guidance document, policy, procedure, etc.)?

If you are still unsure whether or not the material in question is a record, please contact your URC; if you are a URC, please contact the Records Management leadership at NDSU.recordsmanagement@ndsu.edu.
Things not considered to be records

Some materials do not fit the definition of “record.” Examples include:

- copyrights
- patents
- bequests
- published materials available for sale or available at a public library
- materials prepared for your use by your supervisor
- notices and invitations received by a department that are not solicited by the department
- materials not related to any official action of the department
- routing slips or envelopes
- personal property belonging to an employee or student
- duplicates or convenience copies
- materials that have no relation to the business of the department
To confirm that something is not a record, ask these questions:

• Is it reference material (vendor catalog, phone book, technical journal, etc.)?
• Is it a convenience copy (duplicate copy of correspondence, memo, directive, etc.)?
• Is it a stock copy (organizational publication, blank form, etc.)?
• Is it a draft or working copy (draft with no substantive comments, rough note, calculation, etc.)?

Please note that some drafts are needed to support a decision trail or are a requirement according to the Records Retention Schedule.
A “Record” does not include duplicate/convenience copies of materials.

• A document is a duplicate/convenience copy if it is a copy of the original document, with the original being under the custody of the Office of Record Retention.

• A duplicate/convenience copy must be protected and stored in the manner identified for the original in the Records Retention Schedule.

• A duplicate/convenience copy should only be kept as long as it is needed and then it must be disposed of in the method specified for the original in the Records Retention Schedule.

• A duplicate/convenience copy may be disposed of any time prior to the expiration of the retention period specified for the original in the Records Retention Schedule.

• Disposal of duplicate/convenience copies should not be included in records disposal reports.
Email, Text Messages and Electronic Conversations as Records

• Email, text messages and electronic conversations may fit the definition of “Record,” as outlined earlier, depending on their substance and purpose.

• Emails and texts sent and received, and transcripts of electronic conversations, must be retained and disposed of according to the Record Series associated with their content.

    For example, an email message related to an invoice for goods ordered and received would be associated with the Record Series that is applicable to that invoice and must be stored in the same file as the invoice, retained for the same time frame and disposed of according to the disposal method specified for that Record Series.
Documents that exist in both paper and electronic format

When a document exists in both paper and electronic form, the electronic version of the document is considered the official document.

The paper version of the document is a duplicate/convenience copy.
NDSU Records Management Program responsibilities

• The administrators of NDSU’s Records Management Program are responsible for the program’s implementation within the campus community.

• NDSU’s Records Management Program is under the purview of the Vice President of Information Technology.
NDSU Records Management Program

governance, oversight and coordination

1. NDSU Records Management Advisory Committee:
   • includes representatives from faculty, students and staff
   • is responsible for records management policy, standards, guidelines, processes and procedures
2. NDSU Unit Records Coordinators (URCs):
   • are appointed by their department chairs
   • provide assistance and oversight to faculty, staff and administrators in their units for management and disposal of their records in compliance with federal, state and institutional requirements
   • complete annual continuing education and training
   • record their units’ records disposal data online following the instructions at https://www.ndsu.edu/recordsmanagement/disposal_resources/#c158700
   • Each Extension office may either designate a URC or incorporate URC duties into the county office coordinator’s other duties
3. NDSU Records Management leadership:
   • coordinates retention, preservation and destruction processes for university records in accordance with policy, procedures and best practices
   • assists efforts to comply and respond to any issued litigation hold notices and public record requests in a timely manner
   • ensures that URCs receive ongoing training and education
   • collects and compiles annual disposal records and reports those metrics/statistics to the state’s records management office
   • investigates and reports any potential for non-compliance to the appropriate unit administrator and, if needed, the vice president for information technology
   • where appropriate and needed, recommends and requires remediation to ensure compliance
NDSU Records Management Program
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4. NDSU policies and procedures
5. NDUS policies and procedures
6. State and federal laws
Additional information, questions

If you would like more information on records management or have questions concerning records for which you are responsible, please contact one of the following:

- **NDSU’s Records Management:**
  
  Leadership: [ndsu.recordsmanagement@ndsu.edu](mailto:ndsu.recordsmanagement@ndsu.edu)
  
  Wendy McCrory: [Wendy.Mccrory@ndsu.edu](mailto:Wendy.Mccrory@ndsu.edu)
  
  CeCe Rohwedder: [CeCe.Rohwedder@ndsu.edu](mailto:CeCe.Rohwedder@ndsu.edu)

- **NDSU Extension Service:**
  
  Jim Gray: [Jim.Gray@ndsu.edu](mailto:Jim.Gray@ndsu.edu)