

NDSU NORTH DAKOTA
STATE UNIVERSITY

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NDSU

Records Management

Training

June 11 & 12, 2019

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
- Records provide accountability and transparency for the business, research and education of the institution



NDSU's teaching, research and outreach mission depends upon the lawful, effective and efficient management of information assets and resources.

Why are records management best practices important?

Records management standards and best practices:



- ensure that records are true and complete
- provide confidentiality and protection where needed
- make records available to those with rightful access
- ensure that compliance requirements are met

Who is ultimately responsible for records management at NDSU?

- Anyone who creates, disseminates, stores, manages, destroys and/or has access to NDSU records of any type, classification or description.
- All NDSU employees and students who have access to records.
- External entities, such as vendors whose purpose may be to provide storage space or destruction services for records.



NDSU Records Management Program objectives

- Provide to the NDSU community assistance and guidance with managing records throughout their life cycle - from creation or receipt, during use, through the maintenance stage and at final disposition.
- Help assure that management of records produced in the course of university business adhere to federal and state laws and regulations including security, access, storage, retention and disposal.

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

NDSU Records Management Program governance, oversight and coordination

NDSU Records Management Advisory Committee:

- includes representatives from faculty, students and staff
- is responsible for records management policy, standards, guidelines, processes and procedures



Continued

NDSU Records Management Program governance, oversight and coordination

NDSU Unit Records Coordinators (URCs):

- are appointed by their department chairs
- provide assistance and oversight to faculty, staff and administrators in their units for retention, preservation and disposition 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

Continued

NDSU Records Management Program governance, oversight and coordination

NDSU Records Management leadership:

- advises on retention, preservation and disposal processes for university records in accordance with policy, procedures and practices
- 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 governance, oversight and coordination

NDSU policies and procedures

NDUS policies and procedures

State and federal laws

ND Century Code



These are available at

www.ndsu.edu/recordsmanagement/resources

Section II

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.



Paper? Plastic? 8-track?

It doesn't matter: it may be a record

Records come in all kinds of format, including, but not limited to:

- paper
- sound recording
- electronic, (e.g., USB flash drive, CD/DVD ROM)
- electronic mail
- digital formats, which include, but are not limited to word documents, digital presentation formats such as PowerPoint, spreadsheets and text and voice messages



Guidance and recommendations on management and disposal of email records is provided at www.ndsu.edu/recordsmanagement/training

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 office 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 determine 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.

Whose record is it?

- The NDSU-specific Records Retention Schedule (RRS) identifies the Office of Record Retention for almost all the record series it contains
- The NDUS-general RRS does not, so that each institution can identify the Office of Record Retention that works best for it
 - This degree of autonomy is good, but it can create confusion: how do we know who's "it"?
 - Discussion



Duplicate and/or Convenience Copies

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 and Text Messages as Records

- Email and text messages may fit the definition of “Record,” as outlined earlier, depending on their substance and purpose.
- Emails and texts sent and received 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.

- It is **not** a good idea for emails that are records to remain in employee email accounts; rather, they should be saved as PDFs elsewhere.

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 should be tested for electronic integrity three months after imaging.

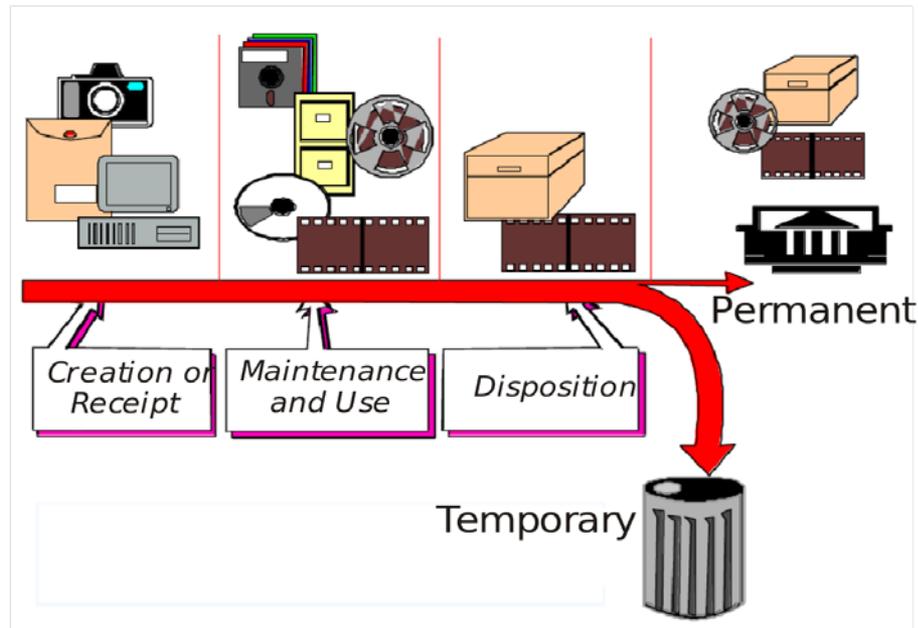
At that time, the electronic document is considered the official document, and the paper version of the document becomes a duplicate/ convenience copy.



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Section III

Life Cycle of a Record



Life Cycle of a Record

The Life Cycle of a Record is initiated by the creation or receipt of the record by the university employee, student and/or department.

After creation or receipt, the record undergoes a period of active use for the completion of business activities on behalf of NDSU.

When that purpose has been accomplished, the record becomes inactive and must be filed/stored for the retention period identified in the Records Retention Schedule.

When the retention period for the record has concluded, the record is to be disposed of as designated in the Records Retention Schedule.

Section IV

The Records Management Process



What is a Records Retention Schedule?

A Records Retention Schedule is a legal document developed to:

- provide direction on how long records are to be retained in active file systems and inactive storage
- identify records which have important historical or archival value and insure their protection and long-term maintenance
- promote efficiency in records processing, distribution and storage
- eliminate maintenance of duplicate records
- ensure access to public records

Records Retention Schedules used at NDSU

The NDUS-general and NDSU-specific Records Retention Schedules are approved by the ND Public Records Board and managed by the ND Records Management Department under the leadership of the ND Information Technology Department.

- The NDUS Records Retention Schedule applies to records used by all North Dakota University System colleges and universities.
- The NDSU-specific Records Retention Schedule contains record series specific to NDSU.
- Instructions on how to access these schedules can be found at https://www.ndsu.edu/recordsmanagement/records_retention_schedule/
- Supplemental information on Extension records is available on NDSU's Records Management website.

Components of the Records Retention Schedules used at NDSU

- **Control Number:** the unique six-digit number assigned to a record series Title, based on the North Dakota Subject Classification System
- **Title:** the title for a group of related records
- **Description:** a description of the types of records included within the series
- **Department, Division:** the department and division that use a particular record series
- **Active:** indication of whether a record series is active or not

Continued

Components of the Records Retention Schedules used at NDSU, continued

- **Retention:** the time period during which the Office of Record Retention must maintain records in the series
 - The Office of Record Retention is the organization or administrative unit that is officially designated for the maintenance, preservation and disposition of the official record according to the Records Retention Schedule.
 - The Office of Record Retention is not always the office of origin.
 - The NDSU-specific Records Retention Schedule identifies the Office of Record Retention for almost all the record series in it.
 - The NDUS Records Retention Schedule does not identify Office of Record Retention for the record series it contains, leaving such identification up to each of its institutions.

Continued

Components of the Records Retention Schedules used at NDSU, continued

- **Disposition:** how the record is to be disposed of at the end of the required retention time period. These are the four methods of disposal:
 - **Landfill/Delete backups:** place non-electronic documents in recycling bin and delete electronic documents and their backups; this method applies to non-confidential records
 - **No disposition method:** permanent retention; retain within department/unit
 - **Shredder:** put through a shredder or place in a secured document destruction bin; this method applies to confidential records
 - **Archives:** if you are the Office of Record Retention, give the records to be archived to your URC, who will coordinate the transfer to Archives.

Continued

An example of a Records Retention Schedule entry is the following:

- Title: Agendas and Minutes
- Control Number: 220110
- Department: ND University System
- Division: General Retention Schedule
- Description: This record series contains agendas, minutes, notes, and reports that record the actions and transactions taken by college/university departments, divisions, committees, councils and similar groups
- Active: Yes
- Retention: ACFY+6 - after current fiscal year plus 6 years
- Disposition: Archives

How to identify a record in the Records Retention Schedule

- The first thing you need to do for every type of record you are managing, is to identify its Control Number, which will lead you to remaining components of that record's management, retention and disposal requirements.
- This identification can be made following the instructions at https://www.ndsu.edu/recordsmanagement/records_retention_schedule/



Disposition of Records

All NDSU employees and students who manage records are responsible to:

- review the records for which they are responsible on an annual basis
- barring the applicability of pending or reasonably foreseeable litigation hold, ongoing audit or open records request, dispose of records that have reached the end of their retention period according to the Records Retention Schedule and report such disposal to their URC
- report new programs and/or records to their URC

Continued

Records disposal: timeline

- Records disposal at NDSU must be completed, and each unit's report must be submitted through the URCs to NDSU.RecordsManagement@ndsu.edu , by May 30 of each year.
- The disposal process can be conducted any time during the fiscal year that works best for each unit, as long as that time is consistent and regular.
- NDSU's cumulative disposal report must be submitted by NDSU's Records Management leadership to the ND ITD Records Management office by June 30 of each year.



Records may not be disposed of prior, or later than, the time stipulated in the Records Retention Schedule for the applicable Record Series.

Records disposal: step by step

- The disposal process is facilitated by the URCs
 1. Individuals who manage records but are not URCs are to utilize the “NDSU Disposal Form for Employees,” located at https://www.ndsu.edu/recordsmanagement/disposal_resources/ , and submit that form to their URC
 2. URCs are to compile the disposal information received from individuals in their unit, and record it online following the instructions at https://www.ndsu.edu/recordsmanagement/disposal_resources/#c158700
- The completion of steps 1 and 2 certify that the classification and disposal of these records are in accordance with the Records Retention Schedules used at NDSU.
- NDSU’s Records Management leadership compiles the information disposal data provided by the URCs and submits it to the ND ITD Records Management office on behalf of NDSU.

Records disposal: archival

- Records whose disposal method is specified as “archive” must be submitted to NDSU Archives
- If a record’s disposal method is not specified as “archive,” that record may not be submitted to NDSU Archives
- The transmittal forms and processes for submitting records to the NDSU Archives can be found at <https://library.ndsu.edu/ndsuarchives/university-records-transfer>
- Following submission of records to NDSU Archives, confirmation of the transfer will be provided by NDSU Archives.

Records disposal: exception for litigation, audit or open records request

- Records involved in an ongoing audit, open records request, pending or reasonably foreseeable litigation, or investigation must not be destroyed until notification has been received that all legal or audit action has concluded.
- In such cases, URCs should notify NDSU's Records Management leadership via email that no disposal is taking place and the reason for that.
- If you have questions or concerns, please contact your URC, or, if you are a URC, NDSU's Records Management leadership at NDSU.RecordsManagement@ndsu.edu .

Records disposal: wrongful destruction or removal

- If you find that records within your department have been wrongfully destroyed, removed or tampered with, please contact your URC or, if you are a URC, contact NDSU's Records Management leadership, NDSU.RecordsManagement@ndsu.edu .
- ND Century Code 54-46-07 provides additional information on protection of records: All records made or received by or under the authority of or coming into the custody, control, or possession of public officials of this state in the course of their public duties are the property of the state and may not be mutilated, destroyed, transferred, removed, sold, or otherwise damaged or disposed of, in whole or in part, except as provided by law. Each state agency and political subdivision of this state shall notify the state records management administrator unlawful actions affecting records. Public records that have been unlawfully removed must returned to the office of origin or to the state archivist.

Perceptive Content and RM

A.J. Klein

Document Imaging Coordinator

Enrollment Management Administrative Systems

What is Document Imaging?

- **Document Imaging** involves the use of Enterprise Content Management (ECM) software that allows for the capture, indexing, and storage of scanned paper and electronic files.
- The software NDSU uses is called **Perceptive Content**
 - *Also referred to by its former name “ImageNow”*
- The document imaging system is a single-tenant instance that is managed by NDUS and is used by all 11 NDUS institutions.

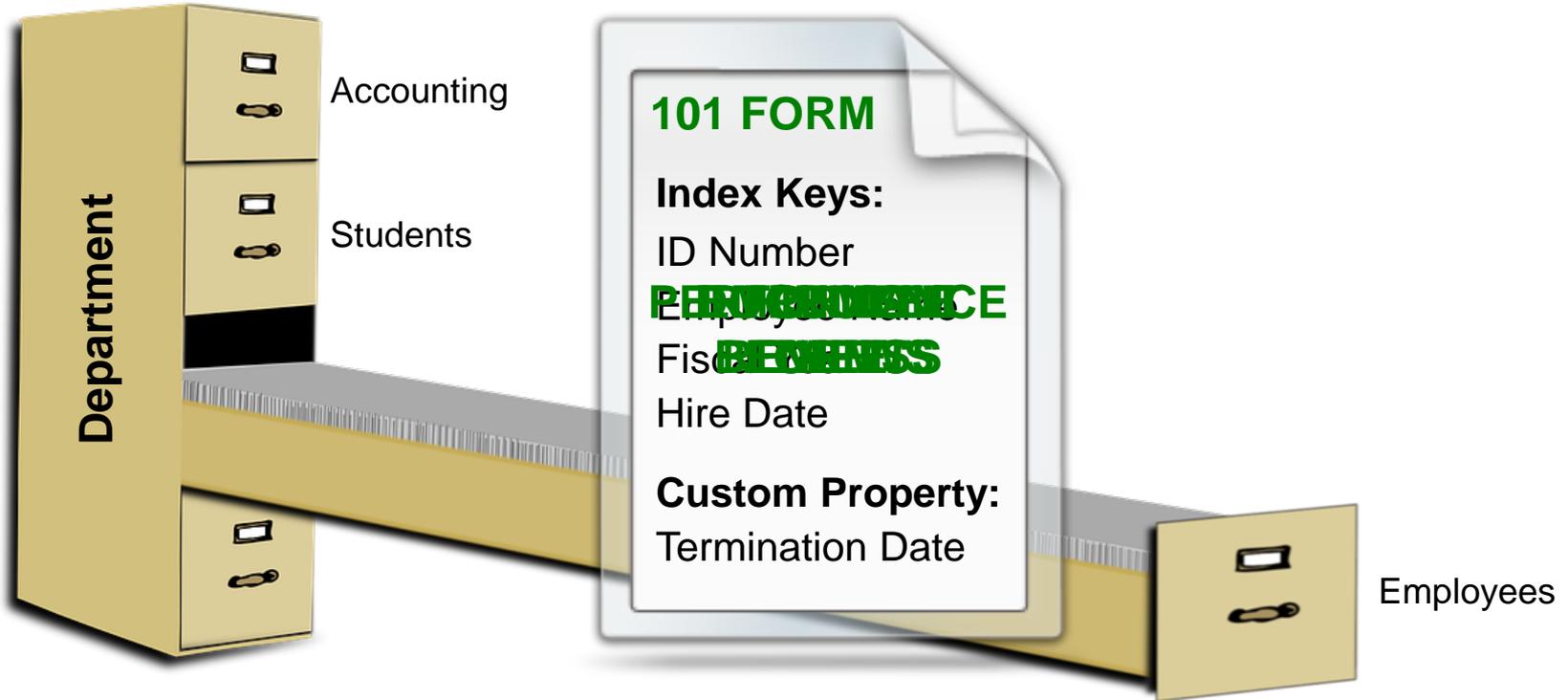
Participating NDSU Departments

- Admission
- Customer Account Services
- Enrollment Management
- Facilities Management
- Financial Aid & Scholarships
- Graduate School
- Human Resources/Payroll
- Institutional Research
- International Student Services
- IT Services
- One Stop
- Provost
- Registration & Records
- Residence Life
- Teaching & Learning

How are Documents Categorized?

- **Institution**
- **Department**
- **Drawer**
 - A storage container for categories of like documents
- **Document Type**
 - The name given to each unique document (Invoice, Transcript)
- **Index Keys**
 - Primary properties applied to all document types in a drawer
- **Custom Properties**
 - Secondary properties applied to individual document types

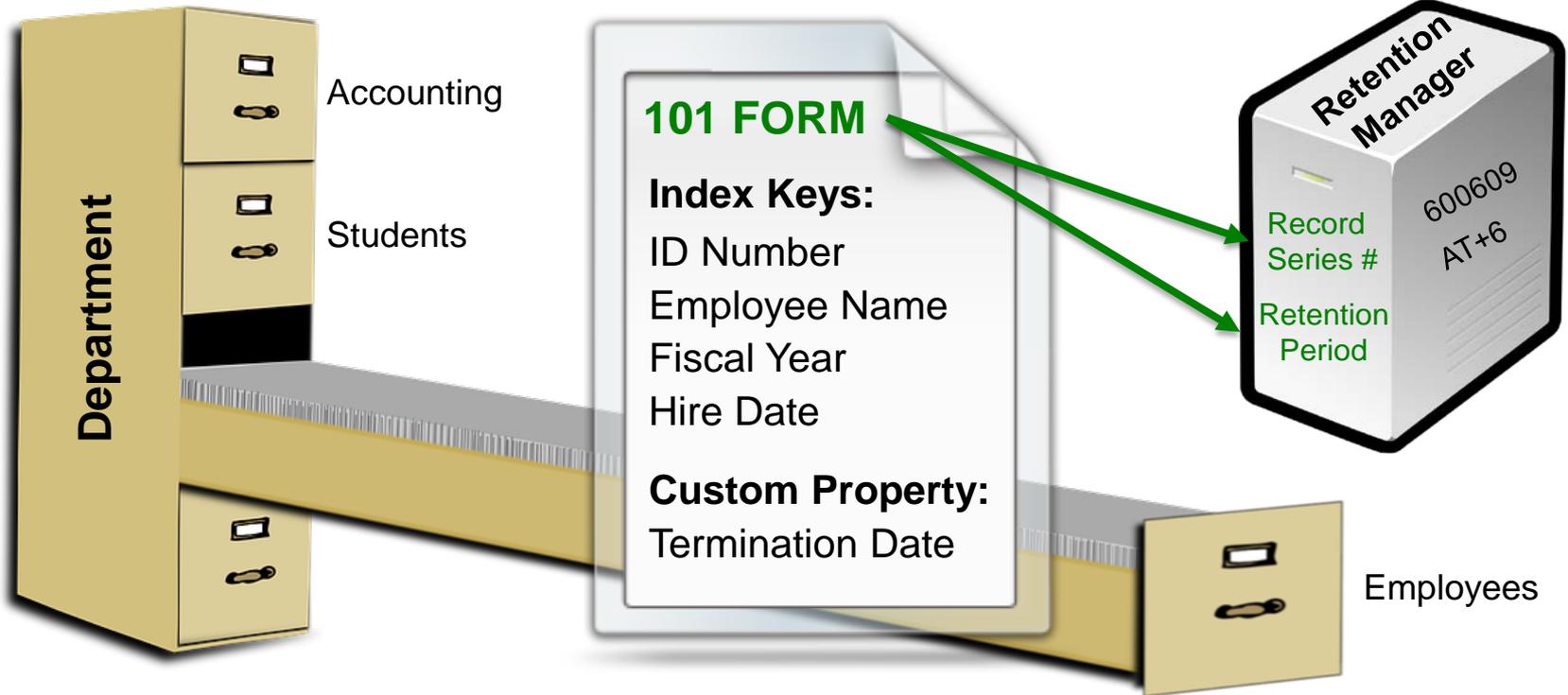
NDSU



How is Retention Information Applied?

- **Retention information is assigned to each Document Type and entered into the Perceptive Content Retention Manager:**
 - Department of Record
 - Record Series Number
 - Retention Period
- **Additional Index Key & Custom Property data may include:**
 - Creation Date, Effective Term, Academic Year, Fiscal Year
 - Expiration Date of Contract or Agreement (“WA” = While Active)
 - Last Date of Attendance (“ALA” = After Last Action)
 - Termination Date (“AT” = After Termination)

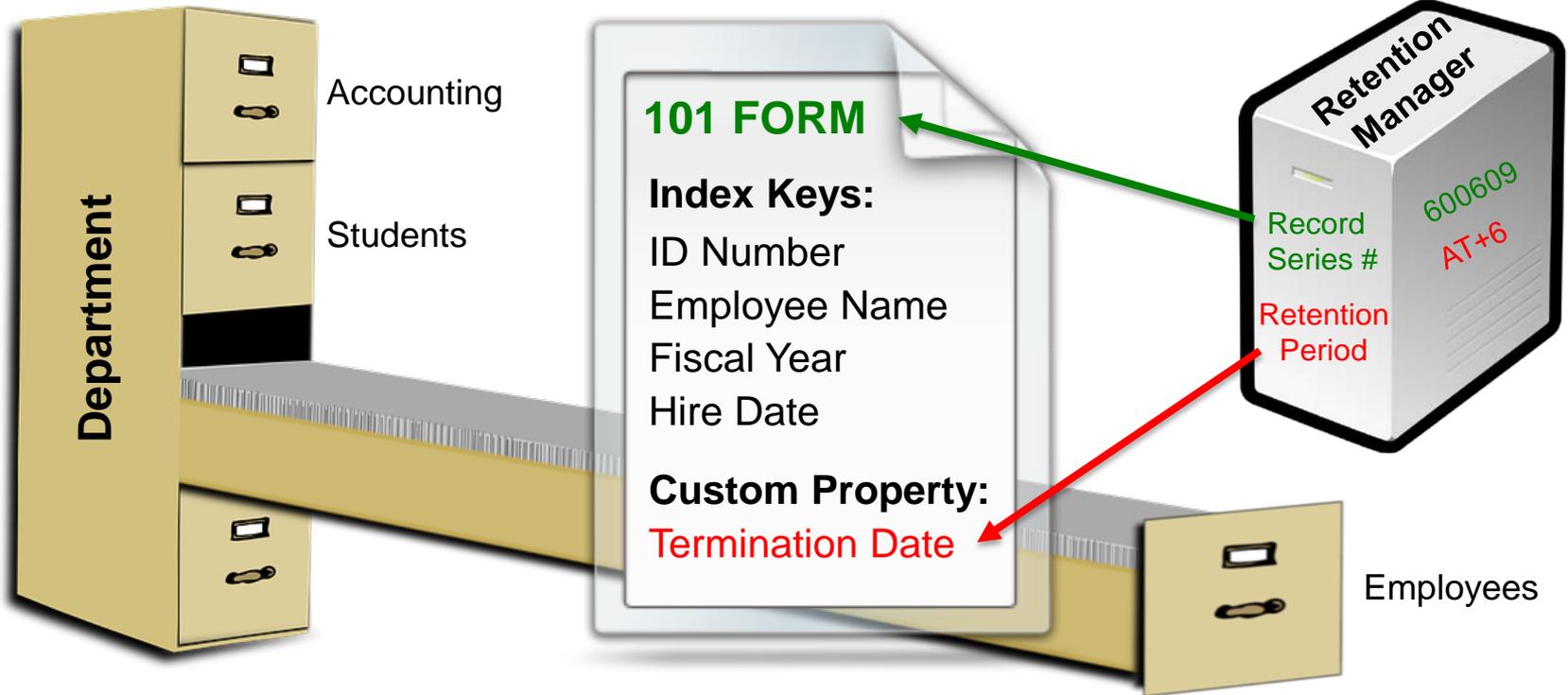
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How are Purge-able Documents Identified?

- **NDUS runs process that populates retention custom property**
 - Example:
 - A query of recently terminated employees is run in HRMS
 - A script process searches for documents with those employee ID numbers and populates the “Termination Date” custom property on each document
- **Retention Manager runs continuously in background**
 - Compares retention information for each document type against each document’s retention-related custom property
 - Identified documents are flagged for review

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How are Documents Reviewed, Recorded & Purged?

- **Department “Reviewer”** receives email notification that documents have been flagged for review
 - User logs into Perceptive Content and opens “Tasks”
 - Documents are reviewed, approved, and forwarded to “Deleter”
- **Department “Deleter”** receives email notification that documents have been approved for deletion
 - User logs into Perceptive Content and opens “Tasks”
 - Documents are forwarded and are deleted
 - NDUS will run document deletion reports providing page/size totals

Final Notes

- **This process is new to NDSU**
 - *previous process has been manual*
- **Departments currently using Retention Manager:**
 - Customer Account Services
 - Enrollment Management
 - Institutional Research
 - Registration & Records

**Remaining Departments will be added throughout the year*

Questions???

For more information:

- Contact **A.J. Klein**, andrew.j.klein@ndsu.edu, 1-7983
- Visit **NDSU Document Imaging** website at:
www.ndsu.edu/imaging
 - Participating Department Contacts
 - Start-up Costs
 - Considerations for Prospective Departments

Section V

Conclusion



Conclusion

Understanding and following records management responsibilities results in:

- improved day-to-day management of NDSU records and information
- assurance of systematic retention and disposition of university information resources.

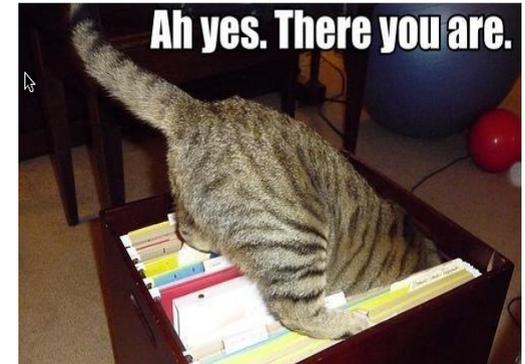
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Conclusion, continued

Benefits of appropriate records management include, but are not limited to:

- compliance with federal and state laws and NDUS and NDSU policy and procedures
- reduction of liability risks
- easy retrieval of records when needed
- lesser volume of records stored
- efficient records storage and retrieval systems
- improved office operations
- lower costs of equipment, supplies, space and personnel
- protected vital records
- improved customer service



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

Wendy McCrory: Wendy.McCrory@ndsu.edu

CeCe Rohwedder: CeCe.Rohwedder@ndsu.edu

- NDSU Extension Service:

Jim Gray: Jim.Gray@ndsu.edu