

# RECORDS MANAGEMENT

Liaison Tool Kit

# Records Management at DU

- The official Board Approved Policy can be found at [http://www.du.edu/bfa/media/documents/policy/DU\\_Records\\_Managing\\_Policy\\_final\\_03272009.pdf](http://www.du.edu/bfa/media/documents/policy/DU_Records_Managing_Policy_final_03272009.pdf)
- As stated in the policy “The purpose of the University Records Management Program is to assist the University in complying with external record-keeping requirements, managing University risk, and preserving the history of the University”
- In regards to the Retention and Disposition of records, the policy states the “University Records Retention Schedule will define how long records should be retained, the Office of Primary Responsibility for a record, and the ultimate disposition of the record: destruction or permanent retention in an archival environment. University Counsel will review schedules for compliance with all applicable statutory and regulatory requirements.”

# What is a Record?

- Information that provides evidence of activity and transactions
- Records can be paper or electronic documents that are created or received and relate to business activity
- Any document that was created, received, recorded or legally filed in the course of fulfilling the University's mission

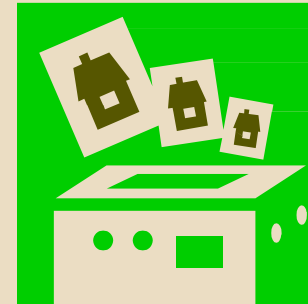


# Types of Records

- University records may include, but are not limited to, student records, personnel records, financial records, contracts, grant materials, curricula, University publications, committee meeting minutes, memoranda, and correspondence.
- Record types: fax, email, spreadsheets, photographs, word processing document, receipts, contracts, etc.

# Not a Record

- ❑ DU Policy: Items that are not considered records include, but are not limited to, personal correspondence, reference/use copies of University records as defined in Section III.F, and non-University publications (magazines, journals)
- ❑ The document is a duplicate or copy
- ❑ Drafts of memos and reports
- ❑ Routing slips
- ❑ Correspondence not related to job function or University business
- ❑ For additional details please refer to the policy Section III.C.3  
[http://www.du.edu/bfa/media/documents/policy/DU\\_Records\\_Management\\_Policy\\_final\\_03272009.pdf](http://www.du.edu/bfa/media/documents/policy/DU_Records_Management_Policy_final_03272009.pdf)

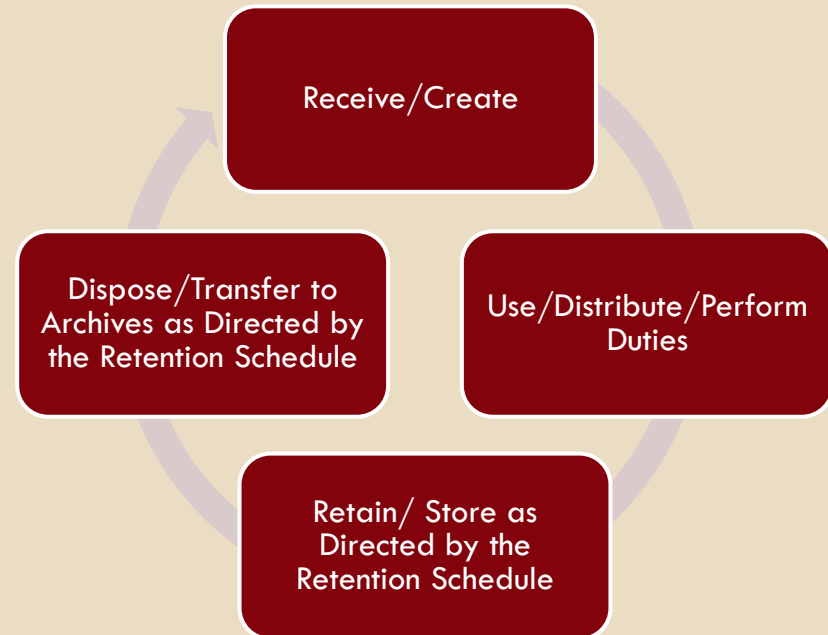


# Electronic Records

- The University is committed to managing the most authentic, sustainable, complete, and useful version of a University record, regardless of format
- These types of records must adhere to the University Records Management Policy and the Retention Schedule
- Electronic Records storage and maintenance systems must be reliable and secure

# Records Management Life Cycle

- Receive/ Create
  - ▣ Generate or receive a new document that contains business or operational information or transactions
- Use/ Distribute/ Perform Duties
  - ▣ The document's required information or actions are fulfilled and executed
- Retain
  - ▣ Use the University's Retention Schedule and store in an appropriate location
- Dispose/ Transfer to Archives
  - ▣ Dispose of records according to the Retention Schedule
  - ▣ Archives: help preserve DU history and legacy



# Records Management Liaison Responsibilities

- Become familiar with the Records Management policy
- Create a Records Inventory, which is a list of all document types that your unit generates and/or retains
- Train staff and faculty on Records Management best practices
- Perform an audit to test the controls and processes
- Update practices as needed
- Work with ERM Specialist to address any concerns



# Records Contact Information

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# Sources

- [http://www.du.edu/bfa/media/documents/policy/DU Records Mang Policy final 03272009.pdf](http://www.du.edu/bfa/media/documents/policy/DU%20Records%20Mang%20Policy%20final%2003272009.pdf)
- <http://www.uwgb.edu/records/recordDefinition.asp>
- [file:///C:/Users/DAVID~1/PAD/AppData/Local/Temp/IMM 0911 RIM+fundamentals records+life+cycle.pdf](file:///C:/Users/DAVID~1/PAD/AppData/Local/Temp/IMM%200911%20RIM+fundamentals%20records+life+cycle.pdf)
- <http://library.osu.edu/projects-initiatives/osu-records-management/records-management-overview/records-lifecycle/>