

PROCEDURES for the Policy on Records Management

Policy #: 02.121.1

Introduction

The University's Policy on Records Management requires all employees to maintain the records they create or receive in accordance with various laws that govern public access to our records, reporting and auditing requirements. Records are managed according to their content, regardless of their format, except in cases of digitizing physical records.

- I. **Inventorizing Records:** Department records, whether or physical or electronic, must be inventoried using the inventory form, provided by the Records Management office. Records inventories allow thorough searches in response to APRA requests and business needs, the ability to determine which records can be destroyed, and provide the necessary information for permanent storage when applicable.
- II. **Records Retention:** Records with retention periods shorter than "permanent" should be disposed of when they become eligible, in accordance with their applicable Records Retention Period. In some cases, records can be retained longer than their retention period if good cause has been determined.
 - A. Good Cause will consider the following factors:
 1. Ongoing business value: records are still being referenced for business information
 2. Legal Proceedings: Records being gathered in response to subpoenas, legal discovery, or APRA requests may not be destroyed until the legal obligations have been fulfilled and/or the case resolved.
 3. Assessment for historical value: Records Custodians can request for the Records Officer and University Archivist to assign permanent historical value to records that would otherwise be destroyed if there is a possibility the records will provide long-term and future value to the University and/or State of Rhode Island. A records retention schedule amendment may be required in these instances.
- III. **Sending physical records to the Records Center:** Physical records must be sent for storage using the state approved Records Center vendor once they have reached the end of their business use.
 - A. **Sending New Boxes to the Records Center:** Records may be sent to the records center inside an archive box, with a barcode on it from the records center vendor and an inventory of what the box contains, so long as the contents all fall under the same Records Code and are needed for business on a less than monthly basis.
 - B. **Retrieving or Refiling Records:** Records may be retrieved as needed after being sent to the Records Center. To retrieve records that have been sent to the records center, or to send records back to the records center after retrieval, contact the Director, Records Management.
 - C. **Records with Permanent Value:** University records with permanent value will be inventoried by the division they belong to, then assessed for value to be held in the University Archive or stored in the records center.
- IV. **Archiving Electronic Records for Long-Term Storage:** Electronic records must be stored in an EDMS with functionality to apply retention periods, file obsolescence checks, access controls, and metadata schema.
 - A. **Inventory records using the Records Inventory Form, provided by the Records Management office.** Instructions are included but if there are questions, please direct them to the Director, Records Management. Records will then be migrated into an Electronic Document Management System that meets Records Management standards.

- B. Retrieving Electronic Records:** EDMS are equipped with access controls to allow employees to access the records they need. To request access, contact the Director, Records Management.
- C. Records with Permanent Value:** Electronic university records with permanent value will be inventoried by the division they belong to, then ingested into a digital archiving software.
- V. Digitizing Records:** Records may be digitized for ease of access, to prevent damage from further handling, for long-term business or historical value, or to replace paper records as the record copy.
 - A. Digitization Plans are Required:** To replace paper records with a digital copy, contact the Director, Records Management, for a Digitization Preservation Plan form.

VI. Disposing of Records/Records Destruction

No records may be disposed of without prior approval from the University Records Officer and the Public Records Administration.

- A. Certification of Records Destruction:** Any department wishing to destroy records must contact the Records Officer and receive a signed copy of the Certification of Records Destruction form before destruction is authorized. Records must be inventoried and fall under an approved Records Retention Schedule before destruction will be authorized.
- B. Physical Records:** Physical records will be shredded by the records center vendor after the approved CRD is received.
- C. Electronic records:** Electronic Records will be deleted and recycled after the approved CRD is received.
- D. Non-Records or Transitory Records:** Records that provide no business, legal, or historical value to an agency and can be destroyed without an approved CRD. No transitory or non-records may be destroyed without department Transitory Records training provided by the Records Officer
- E.** Once Transitory Records training has been completed, departments may destroy transitory records without further approval or an approved CRD
- F.** If a department or Records Custodian is unsure whether a record is transitory or not, consult with the Records Officer before destruction.